Protean eGov Technologies Limited

Standard Operating Procedure (SOP) On

Error Rectification Module (ERM)

(Version 1.1)

REVISION HISTORY

Sr. No.	Date of Revision	Ver	Section Number	Description of Change
1	-	1.0	-	Initial Version
2	23/08/2024	1.1	-	SOP are updated as per new functionality released, New Screenshots are incorporated

Contents

1. Preface

Government of India (GOI) introduced a new Defined Contribution Pension Scheme known as the National Pension System (NPS) replacing the existing system of Defined Benefit Pension System vide Government of India, Ministry of Finance, Department of Economic Affairs Notification, dated 22nd December 2003. The NPS came into operation with effect from 1st January 2004 and is applicable to all new employees of Central Government service, except Armed Forces, joining Government service on or after 1st January 2004. The employees of Central Autonomous organizations, State Governments/Union Territories (UTs) and the Autonomous organizations of the respective State Government/UT are also eligible to join the NPS. The NPS has also been extended to Un-organised sector (NPS to All Citizen of India). The employees who join the NPS are known as 'Subscribers'.

GOI established Pension Fund Regulatory and Development Authority (PFRDA) on 10th October 2003 to develop and regulate the Pension Funds under the NPS. PFRDA appointed National Securities Depository Limited (NSDL) as the Central Recordkeeping Agency (CRA) to maintain the records of contribution and its deployment in various pension fund schemes for the employees.

In NPS, the intermediaries such as POP/POP-SP, provide the subscriber contribution details to CRA and remits the funds to Trustee Bank which in turn transfer the funds for investment to Pension Fund Managers (PFMs) based on the CRA's instruction. Subsequently, units are allotted to the subscribers based on their contribution amount. At the time of providing the subscriber contribution details, the intermediaries may transfer erroneously contribution details which results in incorrect credit in the subscriber account. The intermediaries would intend to rectify the subscriber record in the CRA system. This document describes the Standard Operating Procedure to be followed by the POP/POP-SP for error rectification in the CRA system.

2. Acronyms and Abbreviations

The following definitions, acronyms & abbreviations have been used in this manual:

ACRONYM	DESCRIPTION
CRA	Central Recordkeeping Agency
ERM	Error Rectification Module
GOI	Government of India
I-PIN	Internet Personal Identification Number
NPS	National Pension System
NSDL	NSDL e-Governance Infrastructure Ltd.
PFRDA	Pension Fund Regulatory & Development Authority
POP	Point of Presence
POP-SP	Point of Presence-Service Provider
PRAN	Permanent Retirement Account Number
TS	Transaction Statement

3. Error Rectification Module

In NPS, POP/POP-SP provides the subscribers' contribution details by uploading the Subscriber Contribution File (SCF) onto the CRA system and subsequently, remits the funds to Trustee Bank. Based on the Fund Receipt Confirmation (FRC) from Trustee Bank, the Trustee Bank transfers the funds to Pension Fund Managers (PFMs) for investment and according to the proportion of contribution amount, the units are allotted to the subscriber's Permanent Retirement Account.

At the time of providing the subscriber contribution details, the POP/POP-SP may transfer the contribution details erroneously which results in incorrect credit of units in the subscriber account. In a nutshell, the POP/POP-SP may have committed the following errors:

A. Excess Transfer to a PRAN
B. Amount wrongly credited in PRAN 1 instead of PRAN 2

On identification of above mentioned error, the POP/POP-SP may use the Error Rectification Module available in the CRA system to rectify the same. This functionality will help in resolving the excess transfers to the recipient or transfers to incorrect recipient because of the error committed by the POP/POP-SP while transferring the amount. The succeeding pages describe the SOP to be followed by the POP/POP-SP for rectification of above mentioned errors in the CRA system.

3(A) Excess amount transferred to a PRAN:

In case, a POP/POP-SP has erroneously transferred excess amount to a PRAN and the amount has been credited into the subscribers account, the resolution of these cases can be done by the POP/POP-SP using ERM functionality. The functionality has certain validations which are mentioned below:

1. The functionality has operational hierarchy which comprises maker, checker and Authorizer. In case of centralized[1] mode of operation, only the maker and checker role will be applicable. The maker and checker here are referred as User 1 and User 2.

2. The PRAN should be in active status in the CRA system.

3. POP/POP-SP can capture the request for only that record which has been uploaded by it, irrespective of whether at present the Subscriber is associated with that POP/POP-SP or not.

4. Error rectification request once captured, POP/POP-SP will not be able to capture a fresh (new) request for a PRAN unless the request captured for a combination of PRAN and transaction ID is processed/rejected completely. For example, POP has captured a rectification request for withdrawal of an erroneous credit given to a PRAN "1" for the month of July 2014 through transaction ID "X", unless this request is effectively completed, POP/POP-SP will not be able to capture any other rectification request for the credit pertaining to July 2014 from transaction ID 'X' for this particular subscriber.

As per this process, the units credited in the subscriber account (units equivalent to the contribution amount credited at the time of erroneous credit) would be redeemed. The redemption proceeds (the realized value) will be transferred to the POP/POP-SP. The processing logic has been explained with example below:

The processing logic has been explained considering the status of the PRAN in the CRA system at time of rectification:

1) In case of same Scheme Preference – In case the scheme preference of the PRAN which is being considered for rectification has not changed and it is as

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[1] Centralized mode of operation refers where uploading of contribution, Transfer of Funds, Maintenance, etc are carried out by the POP (Point of Presence).

same as it was at the time of erroneous credit, the treatment of such rectification has been explained in the example as case A.

2) In case of different Scheme Preference – In case the scheme preference of PRAN which is being considered for rectification has changed/different than what was before or at the time of erroneous credit, the example has been explained as case B.

Case A- _PRAN has same Scheme Preference:_ In case, the PFM scheme preference is identical for the PRAN at the time of erroneous credit as well as at the time of rectification, then equivalent units created due to erroneous credit will be redeemed from the PRAN and proceeds will be transferred to the POP/POP-SP.

Illustration:

Erroneous credit:
POP/POP-SP "X" had transferred erroneously Rs. 2,000/- in PRAN "1" on April 22, 2010. Based on NAV of Rs. 10/-, 200 units were created for Rs. 2,000/- and credited to the PRAN on April 22, 2010.

Rectification process:
The POP/POP-SP "X" identified such erroneous credit on February 15, 2013 and captures the rectification request in the CRA system. After the necessary verification and authorization of rectification request by POP/POP-SP and subscriber, CRA system will be required to redeem the above mentioned 200 units created erroneously and transfer the same to POP/POPSP.

Redemption process:
As the request is authorized by subscriber on Feb 15, 2013, CRA system will calculate and derive "200 units" (units created at the time of investment) and same will be considered for redemption on February 16, 2013. The redemption value and actual contribution amount may be different after the redemption. The realized value of redemption will depend upon the Net Asset Value (NAV) declared by PFM on February 16, 2013.
In case the NAV on February 16, 2013 is Rs. 9 (as against Rs. 10 at the time of investment), the redemption proceeds will be Rs. 1,800/- (less than the actual investment) and Rs 1800/- will be transferred to the POP/POP-SP.

In case the NAV on February 16, 2013 is higher i.e. Rs. 15, in such case, the proceeds will be Rs. 3000/- and Rs 3000/- will be transferred to the POP/POP-SP.

Case B- _PRAN has different Scheme Preference:_ In case, the PFM scheme preference is different for the PRAN at the time of erroneous credit as well as at the time of rectification, in such case the CRA system will recalculate the equivalent units with retrospective impact of scheme preference on that PRAN.

Illustration:

Erroneous credit:
POP/POP-SP 'X' had transferred Rs. 2,000/- inadvertently in 'PRAN "1", on April 22, 2010. Based on NAV of Rs. 15.2345/-, 131.2809 units were created for Rs. 2,000/- and credited to the PRAN as shown in the below table.

Contribution investment table:

The erroneous amount got settled on 22 April 2010 as per the erroneous transaction on the day.				
PFM Scheme Name	**PFM Scheme Percent**	**Erroneous credit amount (Rs.)**	**NAV (day of investment)**	**Units (Units allotted against the investment)**
Scheme S-1 of PFM "1"	100	2000	15.2345	**131.2809**

Rectification process:
The POP/POP-SP "X" identified such erroneous credit on February 15, 2013 and captures the rectification request. After the necessary verification and authorization of rectification request by POP/POP-SP and subscriber, CRA system will be required to redeem the above mentioned 131.2809 units created erroneously and transfer the same to POP/POPSP.

Redemption process:

Unlike case A, where the subscriber scheme preference was same and, the number of units also remained same, hence, the exact units (units created at the time of investment) were redeemed. However, in this case the number of units to be debited on account of such rectification will undergo change due to change in scheme preference.

When a subscriber's scheme preference changes, the entire holding in the scheme is transferred to the new scheme as per the revised calculation in target scheme. The

units position in the old scheme and the new scheme may also change due to different NAV in the new scheme.

As the subscribers unit holding changes with every change in the scheme preference, the units will be derived based on the retrospective effect i.e. units created on the day of investment will be tracked to ascertain the present equivalent units, the following table represents the current equivalent units of the erroneous credit:

Current status of the investment in the subscriber account

PFM Scheme Name	Scheme Percent	Erroneous amount	NAV of the day of shifting	Erroneous units
Scheme S2 of PFM"2"	100	2838.67	22.3232	127.1623

The above table depicts that due to changes in the subscriber's scheme i.e. from Scheme S-1 of PFM "1" to Scheme S2 of PFM "2", the units (131.2809) which were created at the time of investment have become 127.16 in the CRA system.

Accordingly, as erroneous request for Rs. 2000 is placed for PRAN "1", then 127.1623 units (considering the retrospective impact) will be redeemed and the proceeds will be transferred to the POP/POP-SP. The calculation of funds to be transferred to POP/POPSP will be as same as it is mentioned in Case A above.

The following section elaborates the Standard Operating Procedure to be followed by the POP/POP-SP for rectification in case of Excess amount transferred to a PRAN.

Capturing of Request:

POP/POP-SP will login into the CRA system (www.cra-nsdl.com) by DSC based login. Please refer Figure 1 & Figure 2.
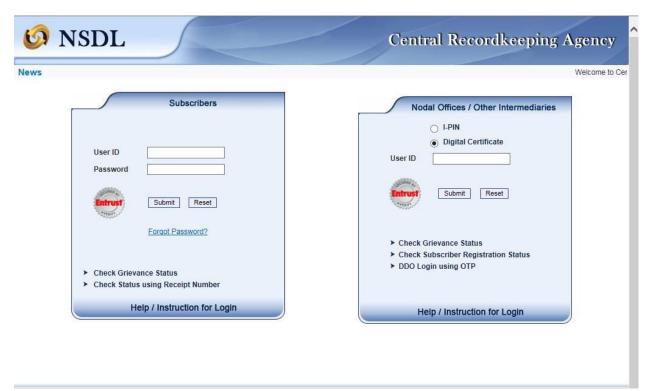
Figure: 1

Once the POP/POP-SP log-in into the CRA site, 'Error Rectification Module' menu will be shown. User will click the sub-menu 'Rectification of Erroneous Transfer to subscriber'. Please refer Figure 2.

Figure: 2

User will be shown the Welcome page of this menu. A summary containing information relevant to the menu has been provided in the Welcome page. Please refer Figure 3.

Figure: 3

User has to click the 'Continue' button to capture the request. The page of transaction search will be shown as mentioned in 'Figure 4'.
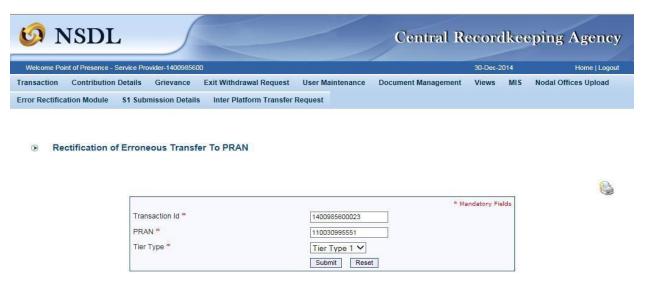

Figure: 4

User will provide the required details. It is mandatory to provide '**Transaction ID',
PRAN and Tier Type.** If the PRAN is not uploaded in the Transaction ID, CRA
system will show as 'No Record Found'. Once User clicks the submit button,
following screen will be shown to the User. Please refer Figure 5.

Figure: 5

User will be shown all the contributions uploaded for the PRAN based on the search criteria. User has to choose the records in which rectification is to be carried out. User will provide the following;

1. **Amount to be Adjusted:** POP/POP-SP User will provide the amount which is to be debited from the selected record. This particular amount will be debited from the subscriber account and will be paid to the POP/POP-SP.

2. **Remarks for Transaction Statement (TS):** POP/POP-SP User will provide the appropriate remark in this field for subscriber's TS. This remark will be shown in the subscriber's TS with the debit entry of the 'Amount to be Adjusted'.

3. **Bank Details:** User will have to provide the Bank Details such as Account Number, Account Name, Branch Name, IFS Code, Mode of Transfer, MICR (MICR code is mandatory only in case 'Type of Transfer' selected as 'Cheque') etc. User should provide the Bank Details carefully as amount will be remitted to this Bank account. There will be certain validations while capturing the request such as 'If the MICR is less than nine digits, message will be shown to the User 'MICR should be of nine digits'. Same validation is there for IFS code. If the IFSC is less than 11 digits, message will be shown to the User 'IFSC should be of 11 digits'.

After providing the mandatory details, the user clicks the submit button, confirmation page will be shown as below. Please refer Figure 6.

Figure: 6

Once User will click on the Confirm button, Acknowledgement ID will be provided to the User. User should note down the Acknowledgment number for tracking the status of the request. Please refer Figure 7.

Figure: 7

Now request is available in CRA system for the verification and authorization.

<u>Verification of Request :</u>

The second user will login into the CRA site. Once User logs into the site, User will click on the sub-menu 'Verify Rectification of Erroneous Transfer to subscriber'. Please refer Figure 8.

Figure: 8

User will provide the PRAN/Acknowledgement ID and select the 'Request Type' in the search screen. User can also search the request by providing the 'Date Range'. Please refer Figure 9.

Figure: 9

Once User provides the search fields, Acknowledgment ID with hyperlink will be provided to the User. Please refer Figure 10.

Acknowledgement No.	PRAN	Request Type	Captured By	Capture Date
10000057883	110030995551	Redemption of Excess Transfer To PRAN	1400985600	05-11-2014

Figure: 10

Once User clicks the hyperlink, rectification details will be shown to the User. User has the option to 'Accept' or 'Reject' the request. User can also provide the remarks in 'remarks' field for their reference while processing the request. Please refer Figure 11.

Figure: 11

When the User submits the request, 'Request Verified/Authorized Successfully, Acknowledgement ID is 100XXXXXX 'message will appear. Please refer Figure 12.

In case the POP User rejects the request, POP/POP-SP User has to capture the fresh request for rectification, if needed.

Figure: 12

Once request is verified by POP-SP successfully, the same will be available for Authorization at POP level (in case of decentralized mode). As mentioned in the

point 1 of 3 (A), in case of centralized operation, no separate authorization is required.

Authorization of request:

POP User will be able to view the request verified by the POP-SP. User has to click the menu 'Error Rectification Module' and sub-menu 'Authorize rectification of Erroneous Transfer to subscriber'. Please refer Figure 13.

Figure 13

Search screen will be provided to the POP User where User has to provide the PRAN/Acknowledgement ID and select the 'Request Type'. Request can also be searched by using the 'Date Range'. Hyperlink will be provided to the User. Please refer Figure 14.

Figure 14

Once POP User clicks the hyperlink, rectification details will be shown to the User. POP has to check the details verified by the POP-SP. POP-SP should provide offline erroneous credit details to POP so that POP User can authorize the details in CRA system. POP User should check all the details entered by the POP-SP Users based on the offline details received from the POP-SP such as Source PRAN, amount to be debited from source PRAN and Payment to be received in the Bank account etc. User has the option to 'Accept' or 'Reject' the request. Kindly note, if the request is rejected by the POP User, POP-SP User has to capture the fresh request for rectification, if needed. POP User can also provide the remarks in 'remarks field for their reference while processing/rejecting the request. Please refer Figure 15.

Figure 15

When the POP User submits the request, 'Request Authorized Successfully, Acknowledgement ID is 100XXXXXX' message will appear. Please refer Figure 16.

Figure 16

Subscriber Confirmation:

Subscriber confirmation is a provision given to subscribers to confirm/reject an erroneous rectification request that is raised by their present/earlier mapped entity. Only after the subscriber gives a confirmation the erroneous rectification request can be finally authorized to be processed. Once POP user Authorizes the request for processing, Subscriber will receive an email with all relevant information pertaining to an erroneous request, for which the subscriber will be required to provide confirmation.

On receipt of the email, subscriber will login to the system to view a link on the welcome screen itself. Link will provide details of all requests that are pending for subscriber confirmation. Please refer Figure 17 and 18.

Figure 17

Figure 18

On clicking the link "Pending ERM Confirmation" Subscriber will select a request for which subscriber wants to provide confirmation by clicking on hyperlink. Please refer Figure 19.

Figure 19

A page with all details corresponding to that erroneous request will appear on the screen for subscriber's reference. Subscriber can accept or reject the request. On selection of an option, system will display a confirmation screen with Accepted/Rejected message. Please refer Figure 20 & 21.

Welcome Subscriber-110030995551   30-Dec-2014   Home | Logout

Security   Account Details   Grievance   Transaction Statement   Exit Withdrawal Request   Views   User Maintenance   Update Details

Rectification of Erroneous Transfer to PRAN

Search Details

Acknowledgement No.	10000057883	Tier Type	T1
Transaction Id	1400985600023	PRAN	110030995551
Contribution Type	Tier-1	Subscriber Name	PRANIT VIRENDRASINGH BANTHIA
Contribution Month / Year		Contribution Amount	454.00
PAO/POP-SP/POP/PrAO Reg. No.	6009850	PAO/POP-SP/POP/PrAO Name	State Bank of India, Bhadra - Ahmedabad

Contribution Details

PAO/DDO Reg. No.	PRAN	Contribution Type	Month	Year	Amount	Remarks	Amount Available for Adjustment
6009850	110030995551	Tier-1			454.00	12600985000000004	454.00

Request Details

Request Type	Redemption of Excess Transfer To PRAN
Amount to be Adjusted	454.00
Remark for SOT	Rectification of Erroneous Transaction

Maker Details

Action Timestamp	User Id	Request Status	Remarks
2014-12-30 12:28:39.011752	1400985600	Captured	Rectification of Erroneous Transaction

Checker Details

Action Timestamp	User Id	Request Status	Remarks
2014-12-30 12:30:34.912758	1400985601	Verified	

Authorizer Details

Action Timestamp	User Id	Request Status	Remarks
2014-12-30 12:33:36.631615	130020104	Authorized	-

Subscriber Remarks	

◉ Accept   ○ Reject

[Submit] [Cancel]

Figure 20

Figure 21

The request which has been accepted by the subscriber will be considered for processing in the CRA system. As per the process, units will be redeemed and funds will be transferred to the POP account (provided at the time of request) on T+3 basis.

The POP/POP-SP may re-raise the rectification request once the subscriber rejects the ERM request. In such case, the POP/POPSP should take subscriber into confidence and inform about the erroneous case and subsequently, the rectification request can be captured as per above mentioned process.

3 (B). Transfer to PRAN 1 instead of PRAN 2:

In some cases, POP/POP-SP has inadvertently transferred an amount to PRAN "1" instead of PRAN "2". Accordingly units have been credited in the PRAN "1". As the amount is already credited to PRAN "1" (i.e. file is matched and booked), correction file cannot be uploaded by the POP/POP-SP. In such cases, POP/POP-SP has to put the request for rectification of entry in 'Error Rectification Module'. Following are the validations built in the system:

1. The functionality has operational hierarchy which comprises maker, checker and Authorizer. In case of centralized mode of operation, only the maker and checker role will be applicable. The maker and checker here are referred as User 1 and User 2.

2. Both the PRANs (i.e. Source as well as Target) should be in active status in CRA system.

3. POP/POP-SP can capture the request for only that contribution record which has been uploaded by it.

4. Error rectification request once captured, POP/POP-SP will not be able to capture a fresh (new) request for transfer of credit from the PRAN which was credited with the excess amount unless the request is processed/rejected completely. For example, POP/POP-SP has captured the request for transfer of an amount wrongly credited into PRAN 1 instead of PRAN 2. Unless this request is effectively completed, POP/POP-SP will not be able to capture any other rectification request pertaining to above mentioned transaction for the particular subscriber.

5. POP/POP-SP can capture maximum of five target PRANs in a request.

Calculation of the transfer of the units for settlement Process for erroneous transfer cases is as follow:

The processing logic has been explained considering the status of the PRAN in the CRA system at time of rectification:

1) In case of same Scheme Preference – In case the scheme preference of both the PRANs is same, the treatment of such rectification has been explained in the example as case A.

2) In case of different Scheme Preference – In case the scheme preference of both the PRANs is different, the treatment of such rectification has been explained as case B.

Case A- _**Both source and target PRAN has same Scheme Preference:**_ In case, the PFM scheme preference is identical for both the PRANs (at the time of erroneous credit as well as at the time of rectification) then equivalent units will be transferred from the source PRAN to the target PRAN.

Illustration:

Erroneous credit:
POP/POP-SP 'X' had remitted in excess Rs. 2,000/- in PRAN "1" inadvertently, instead of PRAN "2" on April 22, 2010. Based on NAV of Rs. 10/-, 200 units were created for Rs. 2,000/- and credited to PRAN "1".

Rectification process:
On February 15, 2013, POP/POP-SP 'X' has requested for rectification of incorrect credit in PRAN "1" and transfer of investment to PRAN "2". After the necessary verification and authorization of rectification request by POP/POP-SP and subscriber, the CRA system will be required to transfer 200 units created erroneously to the PRAN "2". Accordingly, 200 units will be debited from the PRAN "1" (Source PRAN) and credited to the PRAN "2" (Target PRAN).

Case B- _**Both source and target PRAN has different Scheme Preference:**_ In case, the PFM scheme preference is different for both the PRANs (at the time of erroneous credit as well as at the time of rectification) then the equivalent units will be debited from source PRAN and through redemption and reinvestment process, the units will be transferred to the target PRAN. The units in source PRAN will be derived after considering the impact of shifting and/or scheme preference change on that PRAN, as mentioned in case B of section 3(A) above.

Illustration:

Erroneous credit:
POP/POP-SP 'X' had remitted in excess Rs. 2,000/- in 'PRAN 1' inadvertently, instead of 'PRAN 2' on April 22, 2010 through Transaction ID 'A'. Based on NAV of Rs. 15.2345/-, 131.2809 units were created for Rs. 2,000/- and credited to PRAN 1 as shown below:

Contribution investment table of PRAN 1:

The erroneous amount got settled in the below mentioned scheme on 22 April 2010.				
PFM Scheme Name	**PFM Scheme Percent**	**Original Erroneous credit**	**NAV of the day of Erroneous**	**Original Erroneous credit units**
Scheme S1 of PFM1	100	2000	15.2345	**131.2809**

Rectification process:

On February 15, 2013, POP/POP-SP 'X' identified such erroneous credit and captures the ERM request in the CRA system. After the necessary verification and authorization of rectification request by POP/POPSP and subscriber, CRA system will be required to transfer, the above mentioned units created erroneously under PRAN 1 to PRAN "2".

Redemption process:

Unlike case A, where the subscriber scheme preference was same and, hence, the exact units (units created at the time of investment) were transferred to PRAN "2". However, here in this case the number of units to be credited on account of such rectification will undergo change due to difference in the scheme preference of both the PRANs.

In case there is a change in the scheme, the units are redeemed from source PRAN and re-invested in the target PRAN.

Accordingly, as erroneous request for Rs 2000 is placed for PRAN "1", then 131.2809 units (considering there is no change in the source PRAN scheme) will be redeemed and the proceeds will be transferred to the PRAN "2" through re-investment process.

In case the source PRAN (PRAN "1") scheme has changed over the period of time, then the units calculation in the source PRAN will be similar to the example given in case B of section 3 (A). Considering the same example, the following table represents the current equivalent units of the erroneous credit in the source PRAN:

PFM Scheme Name	Scheme Percent	Erroneous amount (value of erroneous credit)	NAV of the day of shifting	Erroneous units
Scheme	100	2838.67	22.3232	127.1623

S2 of PFM2				

The above table depicts that due to changes in the subscriber's scheme i.e. from Scheme S-1 of PFM "1" to Scheme S2 of PFM "2", the units (131.2809) which were created at the time of investment have become 127.1623 in the CRA system.

Accordingly, when an Error Rectification request for Rs. 2000 is placed for PRAN "1", then 127.1623 units (considering the retrospective impact) will be redeemed and the proceeds will be re-invested in the target PRAN "2".

The following section elaborates the Standard Operating Procedure to be followed by the POP/POP-SP for rectification in case of Transfer to PRAN "1" instead of PRAN "2".

Capturing of Request

Once POP/POP-SP logs into the CRA site {please refer figure 1 and 2 in the section 3 (A)}, there is a menu of 'Error Rectification Module'. User will click the sub-menu 'Rectification of Erroneous Transfer to subscriber'. Please refer Figure 22.

Figure: 22

User will be shown the Welcome page of this menu. A summary containing information relevant to the menu has been provided in the Welcome page. Please refer Figure 23.

Figure: 23

User has to click the 'Continue' button to capture the request. Please refer Figure 24.
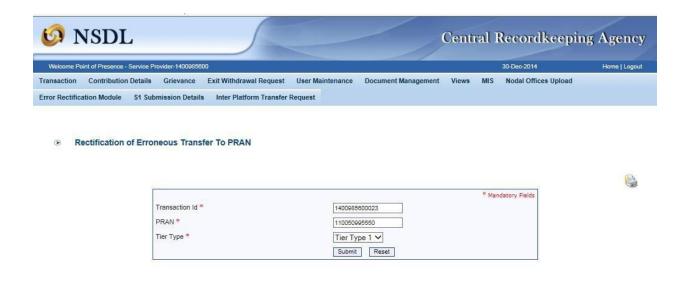
Figure: 24

User has to provide the required details in the relevant fields. It is mandatory to provide '**Transaction ID', PRAN (which has received incorrect credit) and the Tier Type.** Once the User clicks the submit button, following screen will be shown to the User. Please refer Figure 25. If the PRAN is not part of the Transaction ID, a message will be shown as 'No Record Found'.

Figure: 25

User will be shown all the contributions uploaded for the PRAN based on the search criteria. User will choose the records where rectification is required. User will provide following details:

1. **Target PRAN:** POP/POP-SP User will provide the PRANs where equivalent units will be credited.
2. **Amount to be Adjusted:** POP/POP-SP User will provide the amount which is to be debited from the selected record. This particular amount will be debited

from the Source PRAN (subscriber account) and will be credited to the Target PRAN.

3. **Remarks for Transaction Statement (TS):** POP/POP-SP User will provide the appropriate remark in this field for subscriber's TS. This remark will be shown in the subscriber's TS with the credit entry of the 'Amount to be Adjusted'.

After providing the mandatory details, when POP/POP-SP User clicks the submit button, User will be shown the confirmation page as below. Please refer Figure 26.

Figure: 26

User should check all the details and then click on the 'Confirm' button. Acknowledgement ID will be generated in the CRA system and a message "Request captured successfully, Acknowledgement ID is 100XXXXXX. Request pending for verification" will be shown to the User. User should note down the Acknowledgment number for tracking the status of the request. Please refer Figure 27.

Figure: 27

Now the request will be available in the CRA system for POP/POP-SP second User to verify/authorize the request. As mentioned above, in case of centralized operation, no separate authorization is required.

<u>Verification of Request</u>:

POP/POP-SP second User will login into the CRA website. Once the User logs into the website, User has to click on the sub-menu 'Verify Rectification of Erroneous Transfer to subscriber'. Please refer Figure 28.

Figure: 28

Once User provides the search fields, hyperlink will be provided to the User. Please refer Figure 29.

Figure: 29

Once User clicks the hyperlink, rectification capture details will be shown to the User. User has the option to 'Accept' or 'Reject' the request. User can also provide the remarks in 'remarks' field for their reference while processing the request. Please refer Figure 30.

Figure: 30

When the User submits the request, 'Request Verified/Authorizes Successfully, Acknowledgement ID is 100XXXXXX Pending for authorization' message will be shown. Kindly note, if the POP/POP-SP User rejects the request, POP/POP-SP User has to capture the fresh request for rectification, if needed. Please refer Figure 31.

Figure: 31

Once the request is verified by POP-SP, request will be available for POP for Authorization (in case of decentralized mode). As mentioned in the point 1 of 3 (B), in case of centralized operation, no separate authorization is required.

Authorisation of request:

POP User will be able to view the request verified by the POP-SP. User has to click the menu 'Error Rectification Module' and sub-menu 'Authorize rectification of Erroneous Transfer to subscriber'. Please refer Figure 32.

Figure 32

Search screen will be provided to the POP User where User has to provide the PRAN/Acknowledgement ID and select the 'Request Type'. Request can also be searched by using the 'Date Range'. Hyperlink will be provided to the User. Please refer Figure 33.

Rectification of Erroneous Transfer To PRAN

PRAN	
Acknowledgement No.	10000057884
Request Type	--Select--
PAO/POP-SP/POP/PrAO Reg. No.	
Capture Date - From	(dd/mm/yyyy)
Capture Date - To	(dd/mm/yyyy)
	Submit Reset

NSDL

Central Recordkeeping Agency

Welcome Point of Presence-130020104   30-Dec-2014   Home | Logout

Transaction   Contribution Details   Subscriber Registration   Grievance   Exit Withdrawal Request   User Maintenance   Document Management   Views   MIS   Reports

Dashboard   Nodal Offices Upload   Error Rectification Module   S1 Submission Details   Inter Platform Transfer Request

Rectification of Erroneous Transfer To PRAN

PRAN	
Acknowledgement No.	
Request Type	--Select--
PAO/POP-SP/POP/PrAO Reg. No.	
Capture Date - From	30/12/2014 (dd/mm/yyyy)
Capture Date - To	30/12/2014 (dd/mm/yyyy)
	Submit Reset

Acknowledgement No.	PRAN	Request Type	Captured By	Capture Date	PAO Reg No.	PAO Name	Checker UserId	Checker Action Date
10000057884	110050995550	Adjustment of Erroneous Transfer To Wrong PRAN	1400985600	05-11-2014	6009850	State Bank of India, Bhadra - Ahmedabad	1400985601	05-11-2014

Figure 33

Once POP User clicks the hyperlink, rectification details will be shown to the User. POP has to check the details verified by the POP-SP. POP-SP should provide offline details to POP so that POP User can authorize the details in CRA system. POP User should check all the details entered by the POP-SP Users based on the offline details received from the POP-SP such as Source PRAN, Target PRANs, and amount to be debited from source PRAN and amount to be credited in the target PRANs etc. User has the option to 'Accept' or 'Reject' the request. User can also provide the remarks in 'remarks field for their reference while processing the request. Please refer Figure 34

Figure 34

When the POP User submits the request, 'Request Authorised Successfully, Acknowledgement ID is 100XXXXXX' message will appear. Please refer Figure 35.

Figure 35

Subscriber Confirmation:

Subscriber confirmation is a provision given to subscribers to confirm/reject an erroneous rectification request that is raised by their present/earlier mapped entity. Only after the subscriber gives a confirmation the erroneous rectification request can be finally considered for processing in the CRA system. The process for Subscriber Confirmation is same as mentioned in section 3(A), *refer figure 17 to 21 given in the section 3 (A) for the steps for the subscriber confirmation*.

Views by POP/POP-SP:

POP/POP-SP User will be able to view the status of request captured/verified/authorized by him/her. User has to click the menu 'Error Rectification Module' and sub-menu 'View Request Status'. Please refer Figure 36.

Figure 36

User can view the status of a particular request by providing the Acknowledgement ID. User can also search the request by providing the Request Type', 'PRAN' or 'Date Range'. Once User provides the search fields, Acknowledgment IDs (hyperlink) will be provided to the User. Please refer Figure 37 and 38.
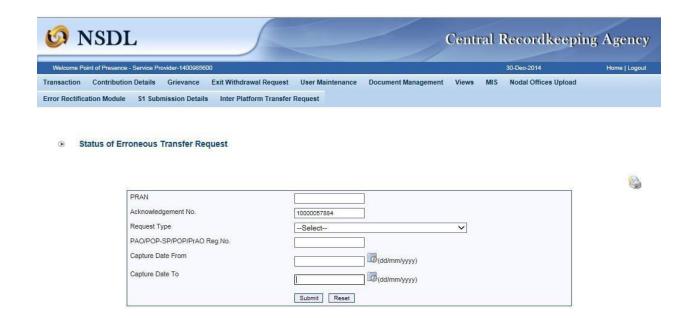
Figure 37

Figure 38

Once User clicks the hyperlink, the details of specific request will be available for view. Please refer Figure 39.

Figure 39

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