2020

BSE Limited

Auditor User Manual for Cyber Security & Cyber Resilience
Audit Report

System Requirements:
1. Microsoft Excel (version 2007 and above)
2. Only Internet Explorer (version 11 and above) to be used to submit Cyber Security & Cyber Resilience Audit Report.

Procedure for submitting the Cyber Security & Cyber Resilience Audit Report on BEFS by Auditor:

1. Member creates Auditor login ID for the applicable submission period. The Auditor will receive login credentials for BEFS for the latest submission period on the email ID filled by the Member as illustrated below.

2. For approval of login ID, the auditor will open the following link http://befs.bseindia.com/ on Internet Explorer and will enter his login credentials to login.

3. Auditor will be prompted to change the default password as illustrated below.

CHANGE YOUR PASSWORD HERE

Member Code 1234

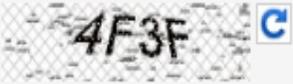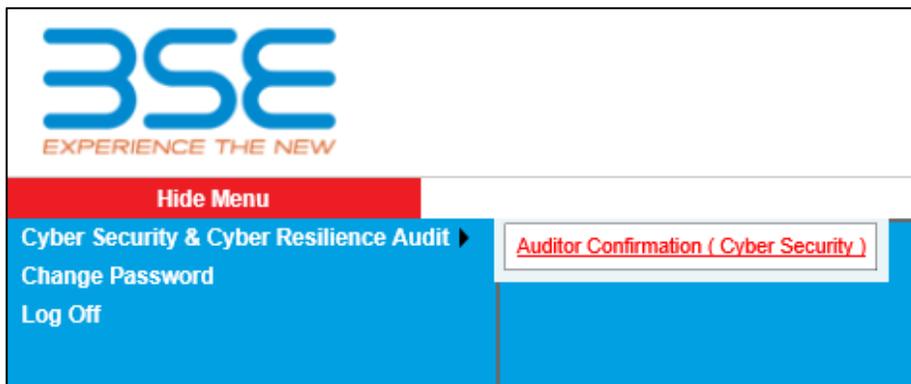User Name 1234CSHSEP20

Old Password

New Password

Confirm Password

4F3F

Enter Captcha

CHANGE   CANCEL   EXIT

4. After changing the password, Auditor has to re-login with new password. Auditor will have to click on 'Auditor confirmation'.

BSE
EXPERIENCE THE NEW

Hide Menu

Cyber Security & Cyber Resilience Audit ▶   Auditor Confirmation (Cyber Security)

Change Password

Log Off

5. After clicking on 'Auditor confirmation', select 'Audit Period' from the drop-down list in Cyber Security & Resilience Auditor Details' screen. In the auto-populated fields:
   a) If the auditor wants to make any changes, they can make changes, click on 'Save' and then click on 'Submit'.
   b) If details are correct, then directly click on 'Submit'.

CYBER SECURITY & RESILIENCE - AUDITOR DETAILS

Audit Period *: -	APR2020-SEP2020 ▾
Audit Mode : -	**HALF YEARLY**
Name Of The Member *: -	DUMMY_1234
Clg No *: -	1234
Audit Firm Name *: -	ABC ASSOCIATES
Audit Firm Registration No *: -	ABC123
Auditor Name *: -	JOSEPHINE BARETTO
Qualification *: -	CERT-IN ▾
Auditor Registration No (DISA/CISA/CISSP/CISM) *: -	PQR123
PAN No. Of The Auditor *: -	ABCDE1234F
Email Id Of Auditor *: -	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact No. Of Auditor *: -	9876543210
Address Of Auditor: *:-	ABC, XYZ

SAVE

6. Click on 'Print' button which will generate a pdf containing the details filled by you in 'Cyber Security & Cyber Resilience Auditor Details' Screen.
   a) Take the printout on the letter head (Auditor's Letter Head) and upload the scanned copy of the undertaking duly signed and stamped by the auditor Or digitally signed by the Auditor.
   b) Adhere to the file nomenclature **'CLG.No_HALFYEARLY_UND_SEP2020.PDF**

CYBER SECURITY & RESILIENCE - AUDITOR DETAILS

Audit Period *: -	APR2020-SEP2020 ▾
Audit Mode : -	**HALF YEARLY**
Name Of The Member *: -	DUMMY_1234
Clg No *: -	1234
Audit Firm Name *: -	ABC ASSOCIATES
Audit Firm Registration No *: -	ABC123
Auditor Name *: -	JOSEPHINE BARETTO
Qualification *: -	CERT-IN ▾
Auditor Registration No (DISA/CISA/CISSP/CISM) *: -	PQR123
PAN No. Of The Auditor *: -	ABCDE1234F
Email Id Of Auditor *: -	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact No. Of Auditor *: -	9876543210
Address Of Auditor: *:-	ABC, XYZ

PRINT

Note : "Auditor Has To Take The Print On The Letterhead Of Audit Firm And Upload The Scanned Copy Of The Same (As Required Below) Duly Stamped And Signed By The Auditor."

Upload File *: -	Browse... File Nomenclature :: 1234_HALFYEARLY_UND_SEP2020.PDF

FINAL SUBMIT

YOU CANNOT EDIT THE INFORMATION AS YOUR REQUEST IS SUBMITTED TO PRINT

7. Browse the undertaking in pdf format with proper nomenclature and click on 'Final Submit' button. A text box message will be displayed to re-login to start the submission.

8. For submission of Cyber Security & Cyber Resilience Audit Report, the Auditor will open the following link http://befs.bseindia.com/ on Internet Explorer and will enter his credentials to re-login.
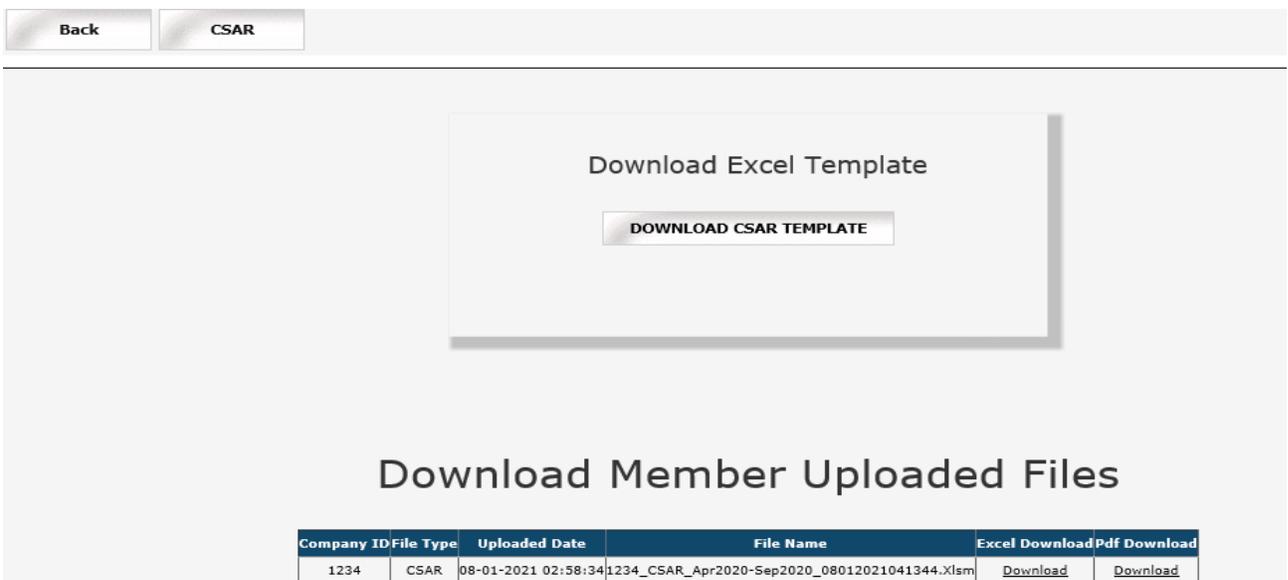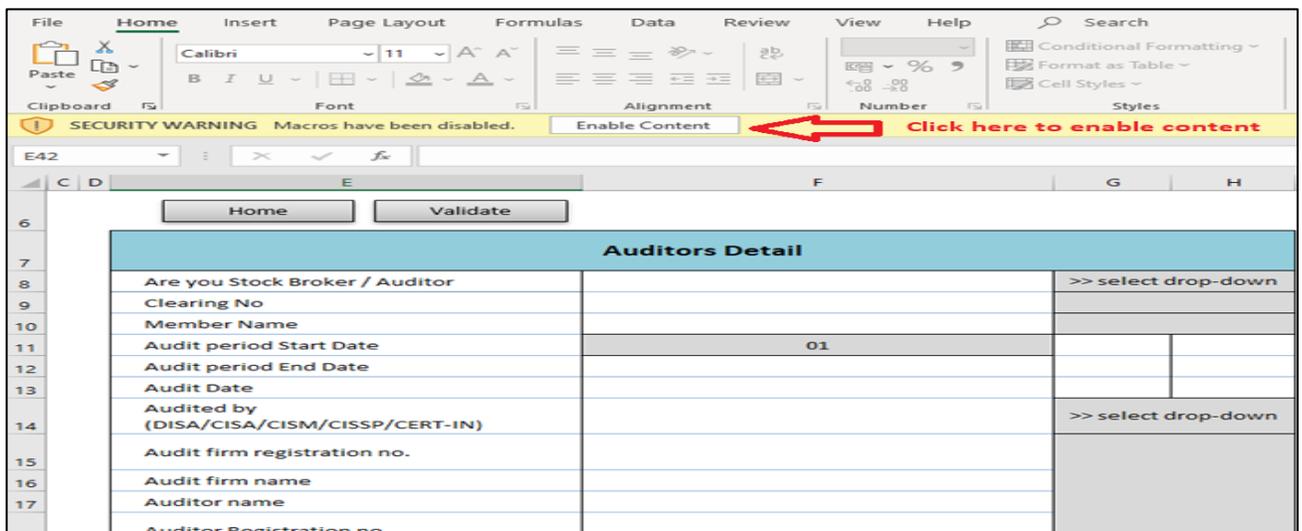
9. Click on Cyber Security & Cyber Resilience Audit > Submission of Audit Report (Cyber Security)
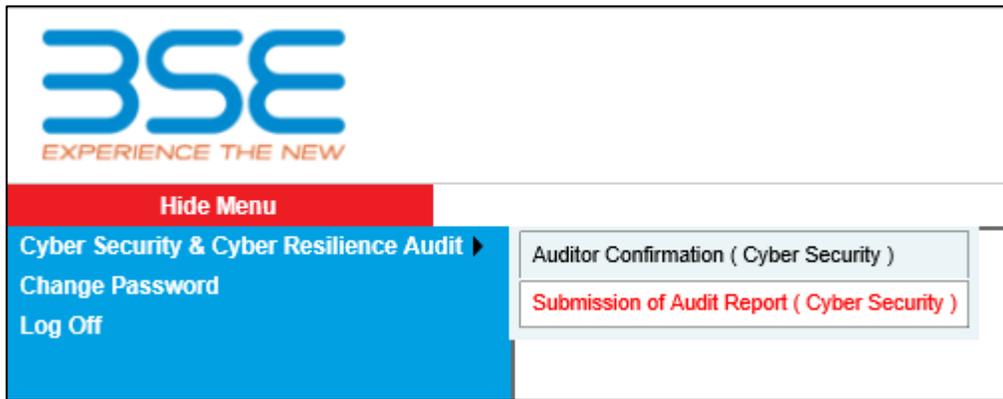
10. Download the CSAR Excel Template and fill in the required details.

11. Once the CSAR Excel Template is downloaded and opened, click on 'Enable Content' to enable macros first.

12. In the **'General Information'** sheet, first select **'Auditor'** from dropdown list for **"Are You Stock Broker / Auditor"** option. After filling all the details then validate the sheet, on clicking **'Validate'** button. After successfully validating the **'General Information'** sheet, proceed further to fill the **"CSAR"** sheet.

Home	Validate		
Auditors Detail			
Are you Stock Broker / Auditor	Auditor		> select drop-down
	Auditor / Stock Broker		
Clearing No			
Member Name			
Audit period Start Date	01		
Audit period End Date			
Audit Date			
Audited by (DISA/CISA/CISM/CISSP/CERT-IN)			>> select drop-down

13. In the **"CSAR"** sheet, fill all the required details then click on **'Validate'** on the top left-hand side of the sheet.

Home	Validate		

Audit Mode Clause	Details	Audit Date	Audited by	Observation no	Description of finding /observation	Department
1	Governance					
1a	Whether the Stock Brker has formulated a comprehensive Cyber Security and Cyber Resilience policy document encompassing the framework mentioned in the circular? In case of deviations from the suggested framework, whether reasons for such deviations, technical or otherwise, are provided in the policy document? Is the policy document approved by the Board / Partners / Proprietor of the organization? Whether the policy document is reviewed by the aforementioned group at least annually with the view to strengthen and improve its Cyber Security and Cyber Resilience	08-01-2021	CERT-IN	1		
	The Cyber Security Policy should includes the following process to identify, assess, and					

14. After successfully filling of "CSAR" Excel Sheet, click on "Home" button to validate all sheets as illustrated below.


15. In BEFS, login and click on Cyber Security & Cyber Resilience Audit > Submission of Audit Report (Cyber Security) > Click on **"CSAR"** button and then click on **"Browse"** and attach 'CSAR EXCEL Sheet' and click on **'Upload Data'**.

16. Once CSAR Excel Sheet gets uploaded, a text box with the message "File submitted successfully Download PDF" will be displayed. Download the PDF and print on the letter head of Auditor.
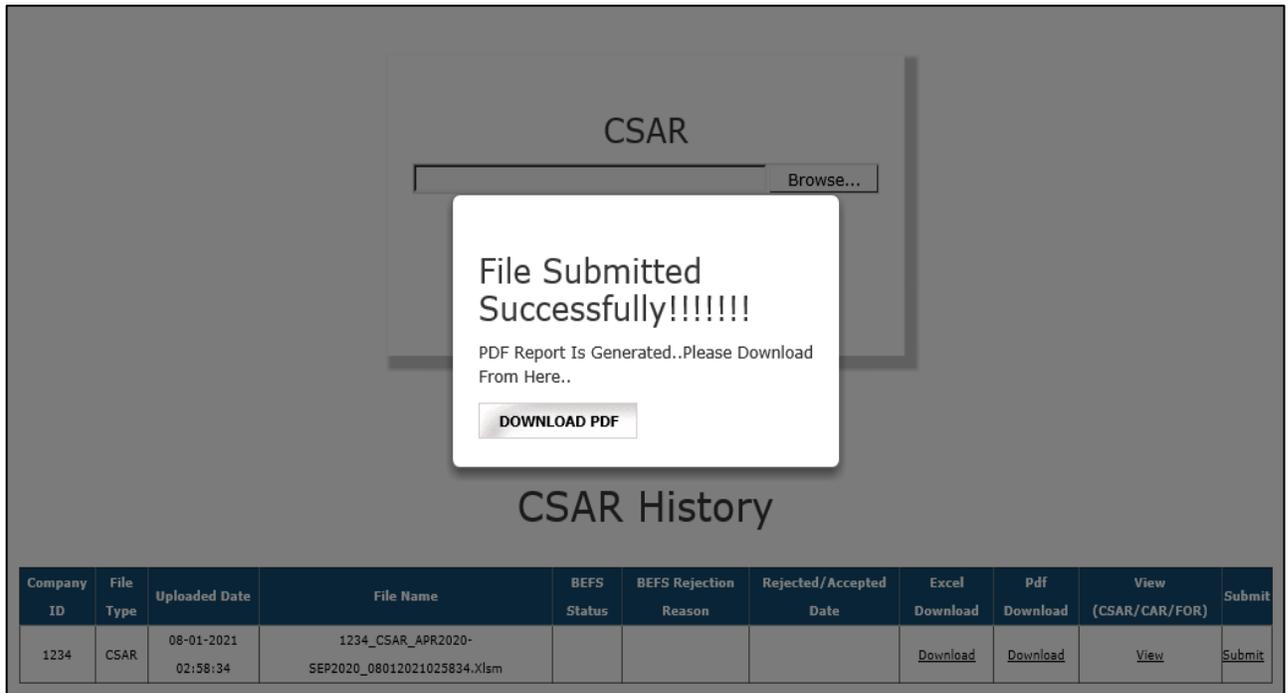
17. After printing 'CSAR' PDF on the letter head of Auditor, get it signed and stamped and scan the 'CSAR Pdf' to submit it on BEFS. Kindly browse, select and upload the scanned 'CSAR pdf'. Auditor can upload digitally signed CSAR PDF file also.
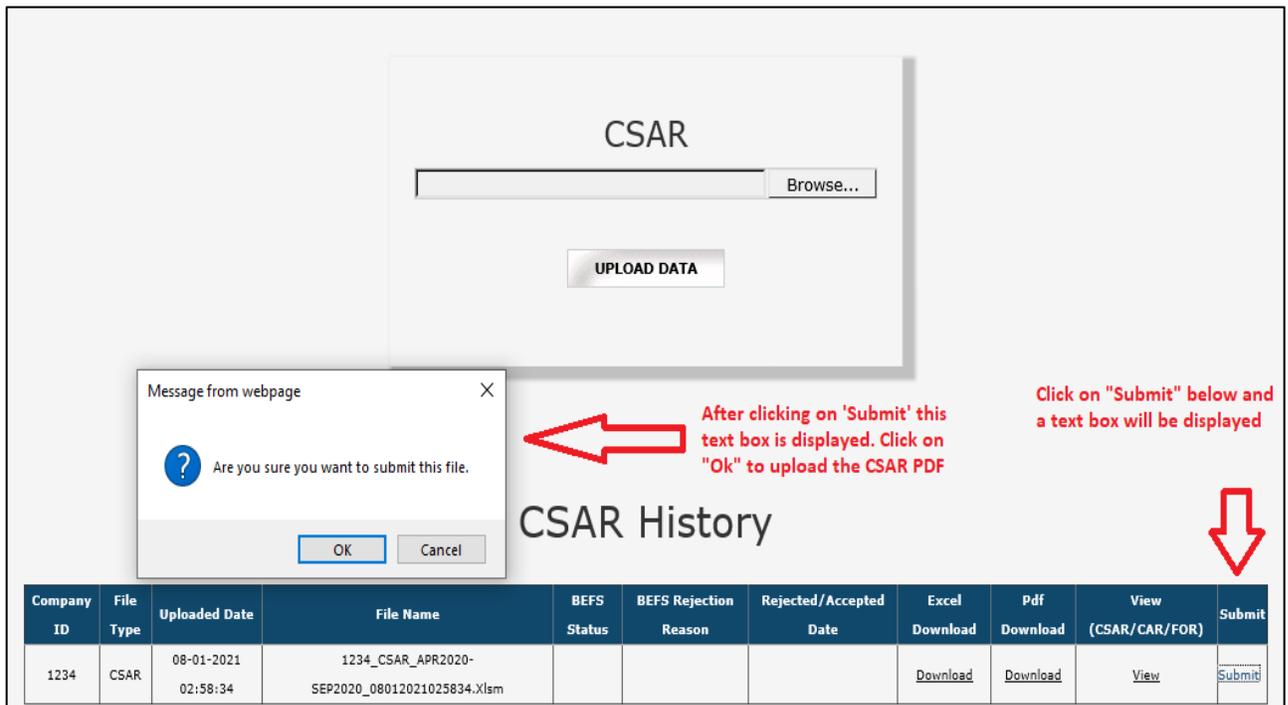
18. The below screen is displayed to browse and upload the signed CSAR PDF. Click on "Upload Data".
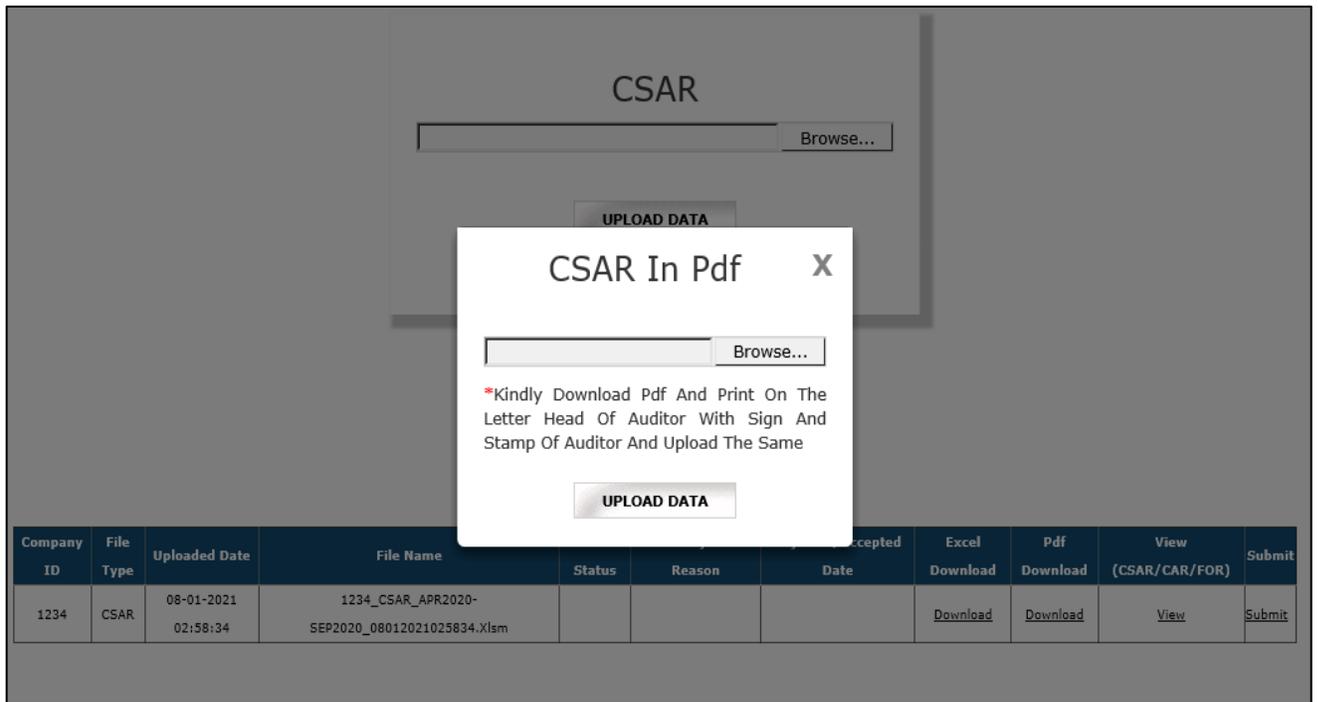
19. After uploading CSAR PDF with sign & stamp of the auditor, the following text box will be displayed. Auditor can see a transaction number for this submission and member will receive acknowledgement mail to process further.
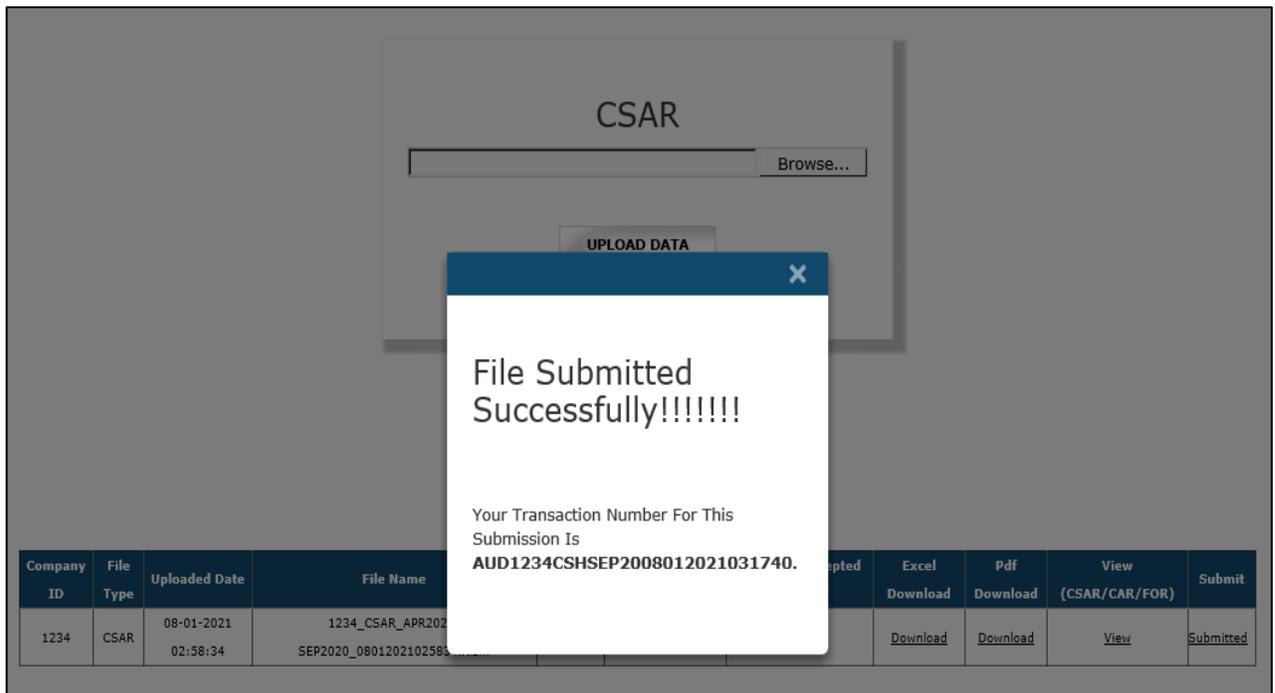
Follow- On Report (FOR) Submission from Auditor Login

If the Auditor wants to submit Follow on Audit Report. Kindly follow the steps mentioned below:

1. Auditor will open the following link http://befs.bseindia.com/ on Internet Explorer and login with login credentials.

2. Select Cyber Security & Cyber Resilience Audit > Submission of Audit Report (Cyber Security)

3. Click on CSAR Button in TOR History kindly download the excel template.
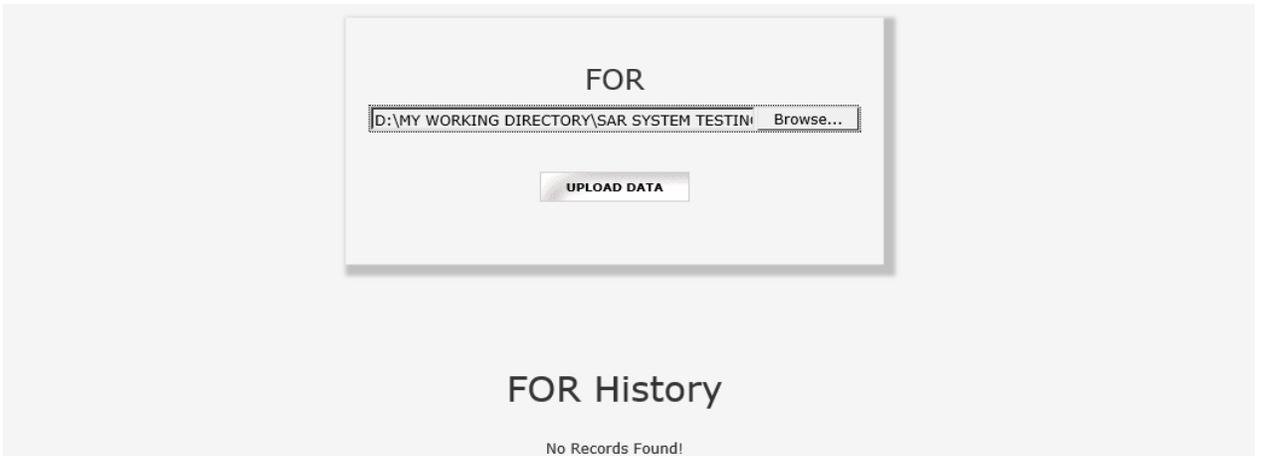

4. After downloading the template > **Open the template** and **enable the macros** and change **Filing for (CSAR/CAR/FOR)** to **FOR (Follow on Audit Report) then Validate the sheet.**
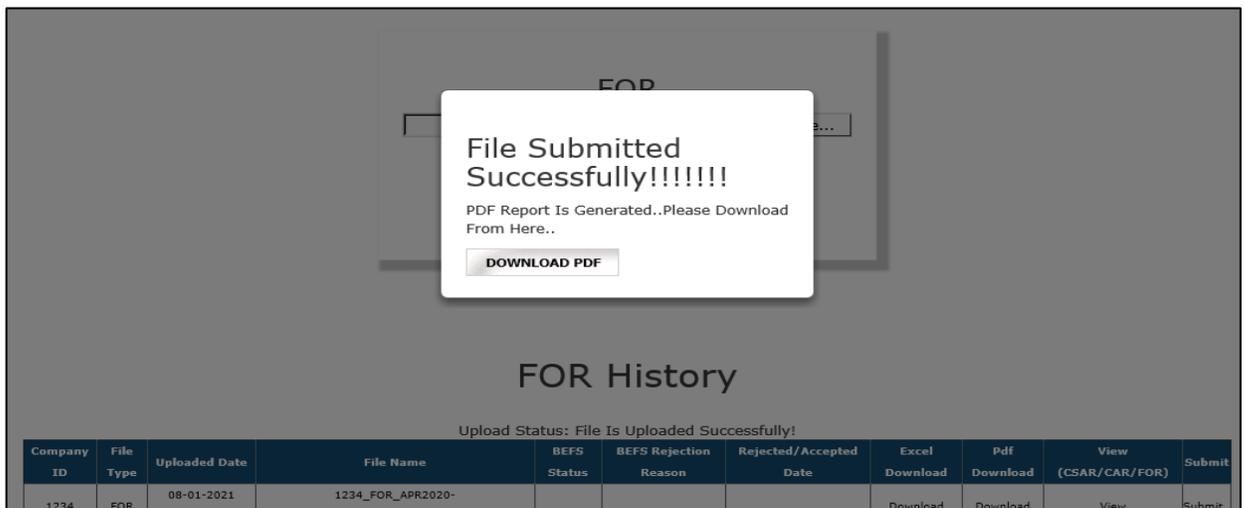
5. In FOR sheet, fill in the details and validate the FOR Excel sheet and save the file.

Audit Mode	Audit Mode Clause	Observation raised(Audit Mode clause)	Current Status	Revised Corrective Action	Deadline for the revised corrective action	Verified by	Closing date
	III	Network Security Management					
Half year	3l	Stock Brokers / Depository Participants has established baseline standards to facilitate consistent application of security configurations to operating systems, databases, network devices and enterprise mobile devices within their IT environment. The LAN and wireless networks should be secured within the Stock Brokers /Depository Participants' premises with proper access controls.	Compliant	jfdhdjfhdsj	02-02-2021	Auditor	02-02-2021
Half year	3m	For algorithmic trading facilities, adequate measures should be taken to isolate and secure the perimeter and connectivity to the servers	Compliant	dsfdsf	02-02-2021	Auditor	02-02-2021

6. Log into BEFS, select > Submission of Audit report (Cyber Security), then click on "CSAR" tab, scroll down to **FOR Browse Button,** click on browse button to upload **FOR Excel Sheet (Follow on Audit Report)**

FOR

D:\MY WORKING DIRECTORY\SAR SYSTEM TESTIN   Browse...

UPLOAD DATA

FOR History

No Records Found!

7. Once EXCEL Sheet gets uploaded, it gets converted into PDF file. Download the PDF and print on the letter head of Auditor.

File Submitted Successfully!!!!!!!

PDF Report Is Generated..Please Download From Here..

DOWNLOAD PDF

FOR History

Upload Status: File Is Uploaded Successfully!

Company ID	File Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/Accepted Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit
1234	FOR	08-01-2021	1234_FOR_APR2020-				Download	Download	View	Submit

8. After uploading FOR PDF with sign & stamp of the Auditor or digitally signed by the Auditor, a text box shown below will be displayed. A transaction number is generated for this submission and member will receive an email to confirm the submission of FOR by the Auditor.

FOR

| [Browse...] |

File Submitted Successfully!!!!!!!

Your Transaction Number For This Submission Is
AUD1234CSHSEP2008012021045848.

Company ID	File Type	Uploaded Date	File Name	Status	Reason	...pted Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit
1234	FOR	08-01-2021 04:57:20	1234_FOR_APR2020-SEP2020_08012021045720.Xlsm				Download	Download	View	Submitted

****END OF DOCUMENT****