

2022



BSE Limited

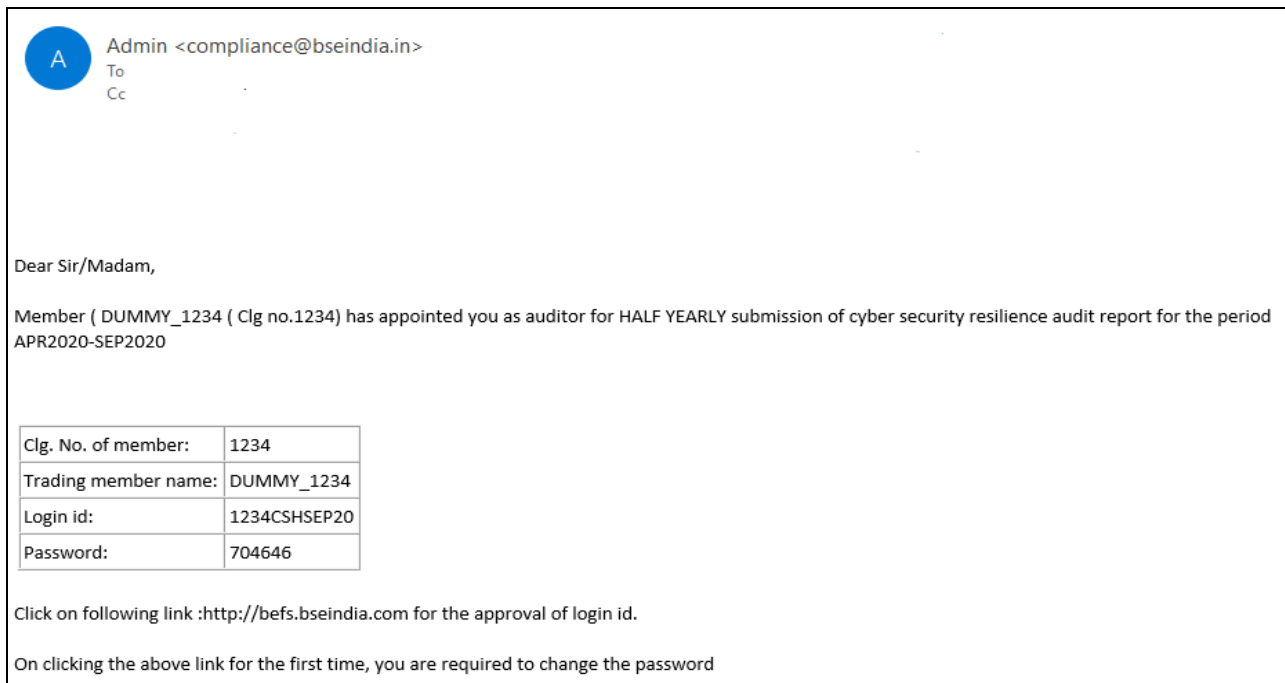
Auditor User Manual for Cyber Security & Cyber Resilience
Audit Report

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.



A Admin <compliance@bseindia.in>
To
Cc

Dear Sir/Madam,

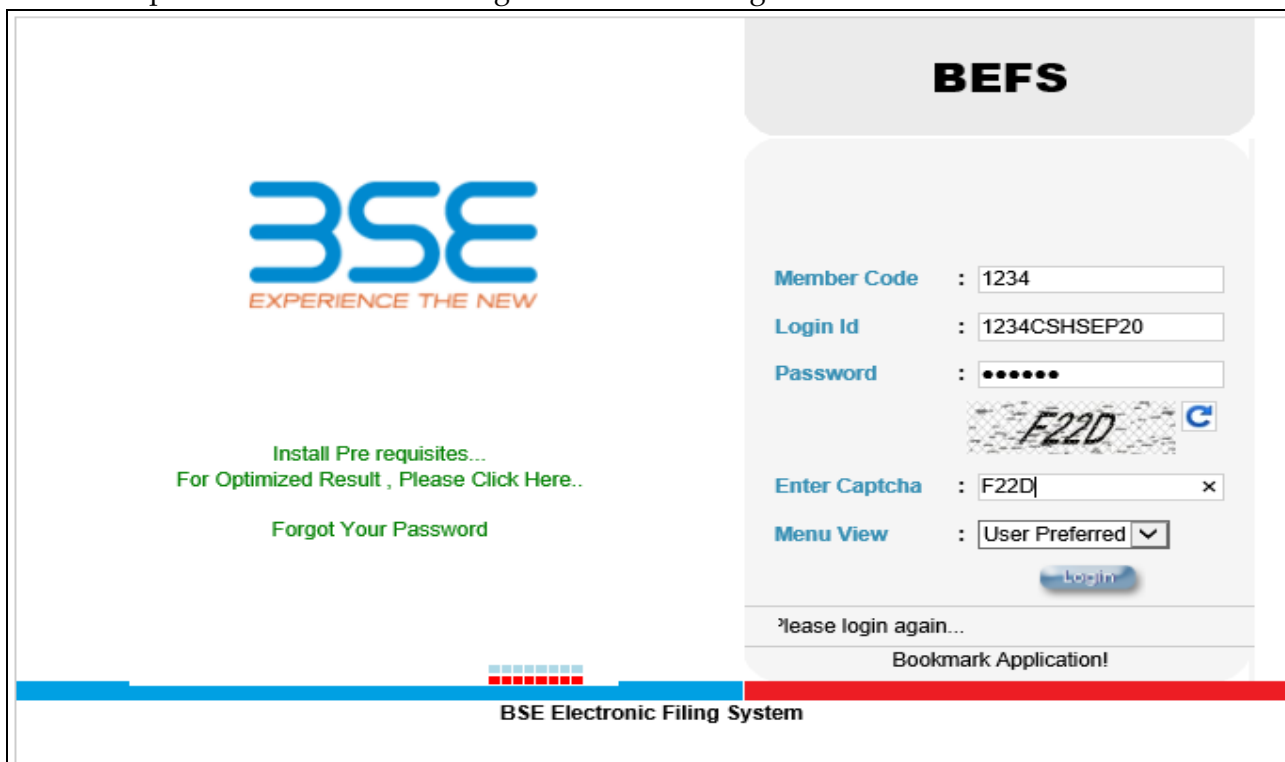
Member (DUMMY_1234 (Clg no.1234) has appointed you as auditor for HALF YEARLY submission of cyber security resilience audit report for the period APR2020-SEP2020

Clg. No. of member:	1234
Trading member name:	DUMMY_1234
Login id:	1234CSHSEP20
Password:	704646

Click on following link :<http://befs.bseindia.com> for the approval of login id.

On clicking the above link for the first time, you are required to change the password

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.



BEFS

BSE
EXPERIENCE THE NEW

Install Pre requisites...
For Optimized Result , Please Click Here..

Forgot Your Password

Member Code : 1234

Login Id : 1234CSHSEP20

Password :

Enter Captcha : F22D

Menu View : User Preferred

login

Please login again...

Bookmark Application!

BSE Electronic Filing System

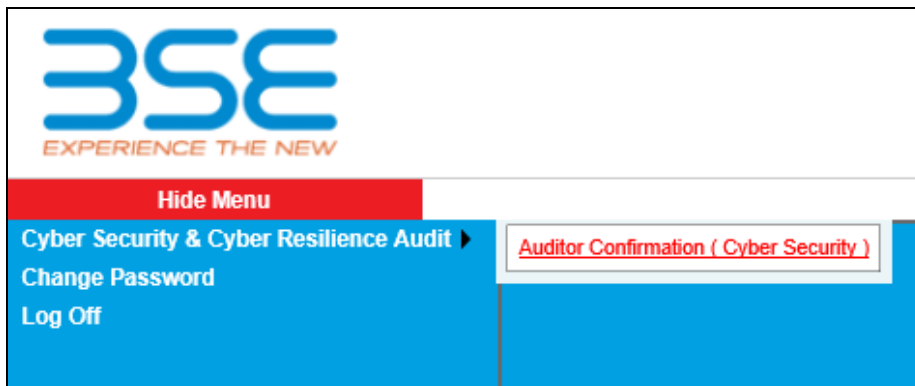
3. Auditor will be prompted to change the default password as illustrated below.



The screenshot shows a web form titled "CHANGE YOUR PASSWORD HERE". It contains the following fields and elements:

- Member Code: 1234
- User Name: 1234CSHSEP20
- Old Password: [Empty text box]
- New Password: [Empty text box]
- Confirm Password: [Empty text box]
- Captcha: A graphic showing the text "4F3F" with a refresh button (circular arrow icon).
- Enter Captcha: [Empty text box]
- Buttons: CHANGE, CANCEL, and EXIT.

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



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:
- If the auditor wants to make any changes, they can make changes, click on 'Save' and then click on 'Submit'.
 - 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
<input type="button" value="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
<input type="button" value="PRINT"/>	
<p>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."</p>	
Upload File *:-	<input type="button" value="Browse..."/> File Nomenclature :: 1234_HALFYEARLY_UND_SEP2020.PDF
<input type="button" value="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.

The screenshot shows a web form for submitting an audit report. The form fields are as follows:

Audit Mode :-	
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	POR123
(DI	
PA	
Em	.COM
Co	
Ad	

A modal message box is displayed over the form:

Message from webpage

AUDITOR REQUEST IS SUBMITTED, KINDLY RE - LOGIN FOR SUBMISSION OF CYBER SECURITY & CYBER RESILIENCE AUDIT REPORT.

OK

Below the form, there is an 'Upload File *:-' section with a 'Browse...' button and a file name: *File Nomenclature :: 1234_HALFYEARLY_UND_SEP2020.PDF*. Below this, the text *1234_HALFYEARLY_UND_SEP2020.PDF* is displayed. At the bottom, a red message states: **AUDITOR REQUEST IS SUBMITTED**.

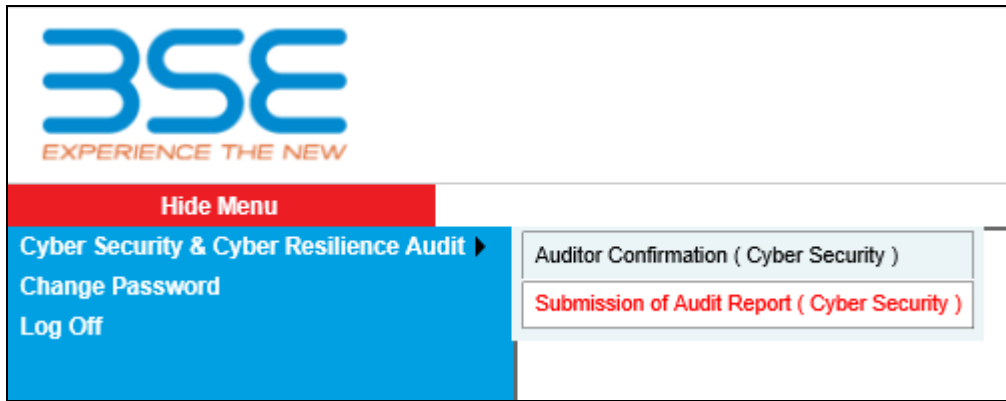
8. For submission of Cyber Security & Cyber Resilience Audit Report, the Auditor will open the following link <http://bef.s.bseindia.com/> on Internet Explorer and will enter his credentials to re-login.

The screenshot shows the BEFS login page. The BSE logo is on the left with the tagline 'EXPERIENCE THE NEW'. The BEFS logo is on the right. The login form fields are:

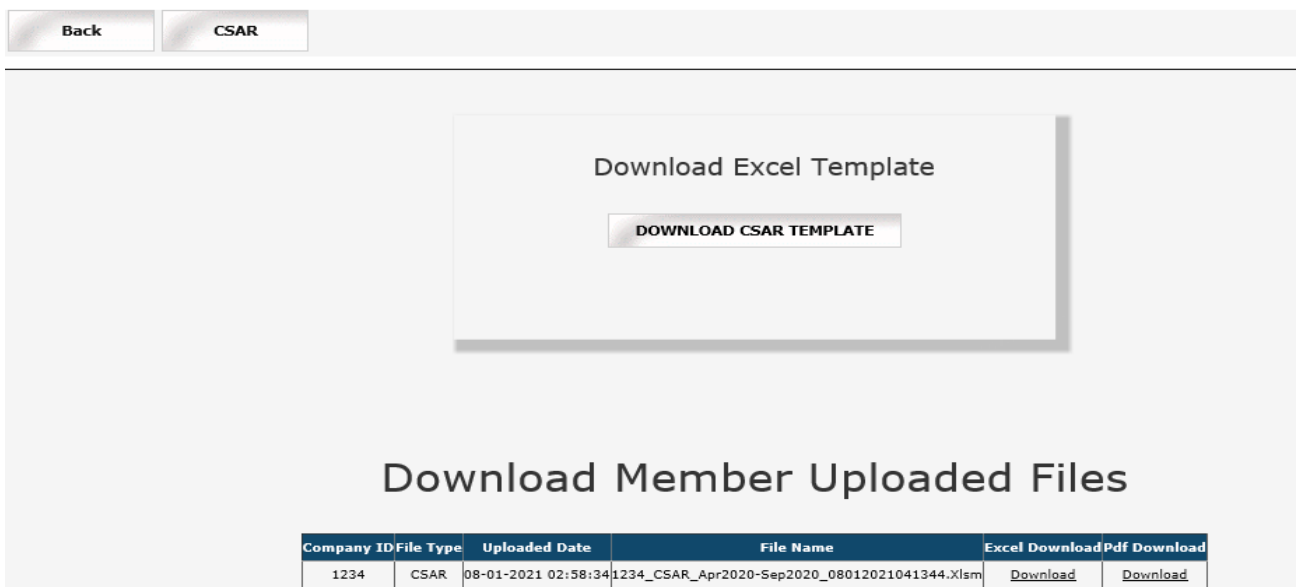
Member Code	: 1234
Login Id	: 1234CSHSEP20
Password	:
Enter Captcha	: F22D
Menu View	: User Preferred

There is a 'Login' button and a 'Please login again...' message. At the bottom, it says 'Bookmark Application!' and 'BSE Electronic Filing System'.

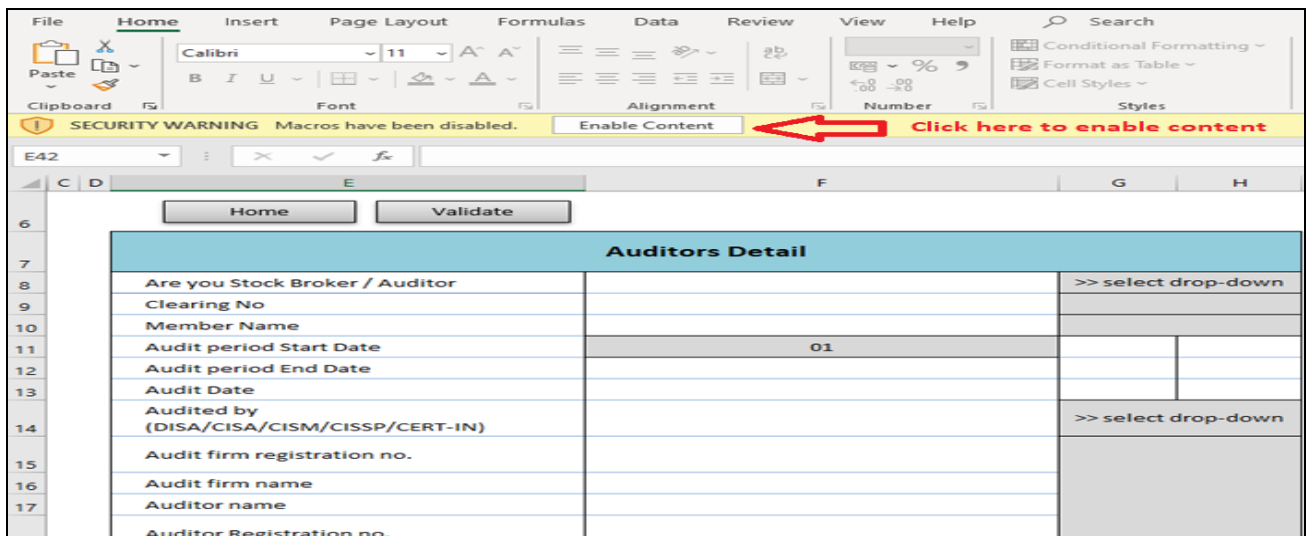
9. Click on Cyber Security & Cyber Resilience Audit > Submission of Audit Report (Cyber Security)



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.

<div> <div>Home</div> <div>Validate</div> </div>	
Auditors Detail	
Are you Stock Broker / Auditor	<div> <div>Auditor</div> <div>> select drop-down</div> </div>
Clearing No	<div> <div>Auditor</div> <div>Stock Broker</div> </div>
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.

<div> <div>Home</div> <div>Validate</div> </div>						
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.

The screenshot shows a window titled "BSE- Financial Results - XBRL Filings". It contains three steps:

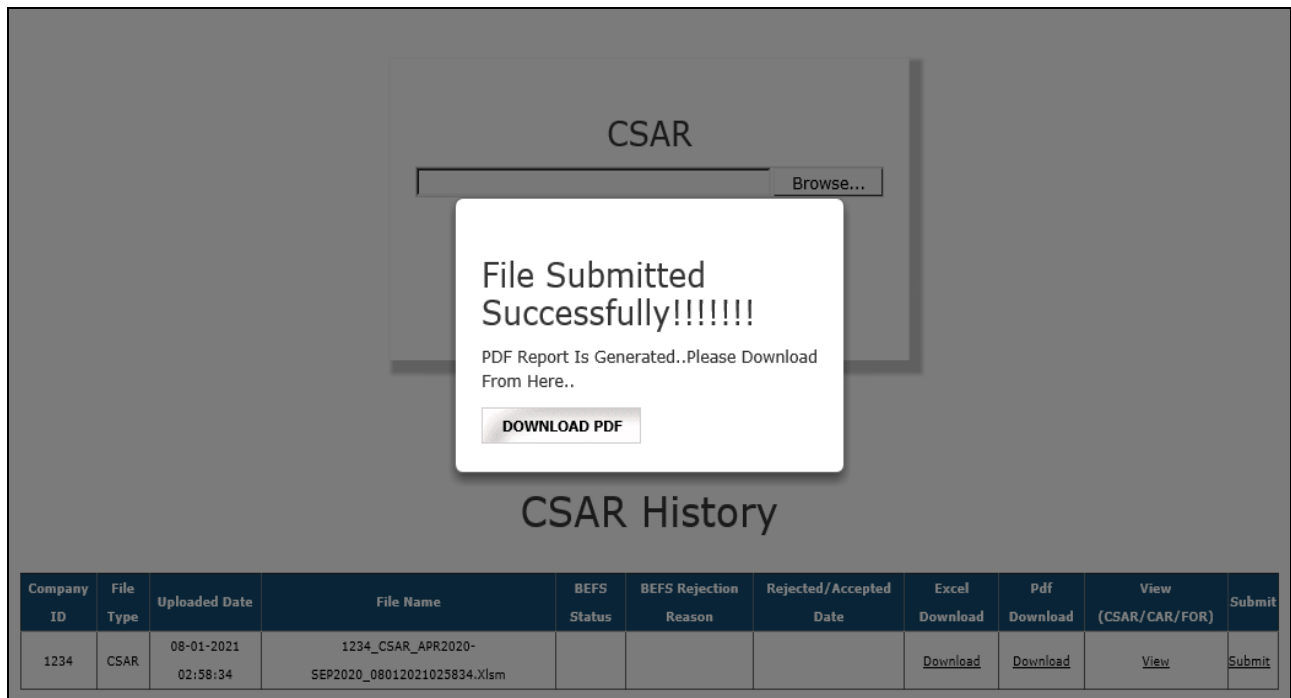
- Step 1: Complete all Worksheets below:**
 - 1 Select the sheet you wish to go to:
 - General Information
 - CSAR
- Step 2: Enter Data**
 - 2 Enter Data in relevant sheets & Save File
- Step 3: Validate All Sheets**
 - 3 [Validate All Sheet](#)

At the bottom, there are two logos: BSE (Experience the New) and MICROVISTA TECHNOLOGIES.

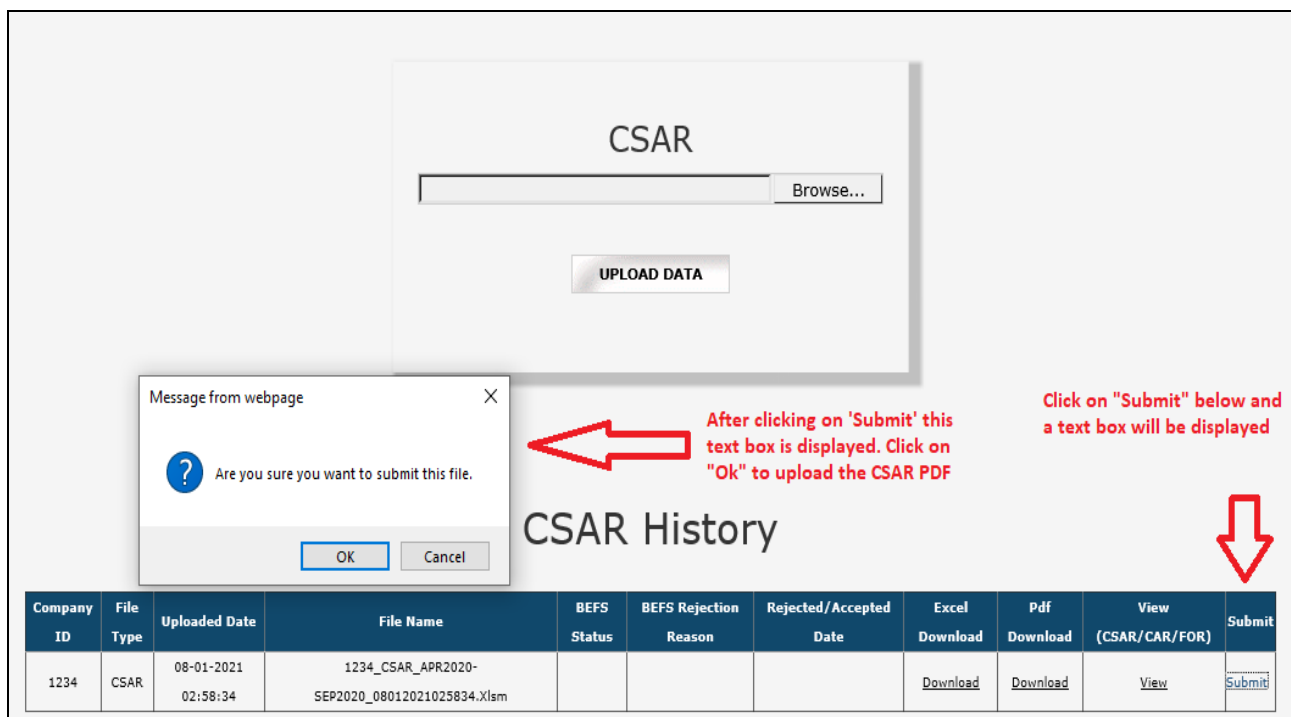
15. In BEFS, login and click on Cyber Security & Cyber Resilience Audit > Submission of Audit Report (Cyber Security) > Click on “CSAR” button and then click on “Browse” and attach ‘CSAR EXCEL Sheet’ and click on ‘Upload Data’.

The screenshot shows a web interface for CSAR submission. At the top, there are two buttons: "Back" and "CSAR". Below them, there is a large box containing the text "CSAR". Inside this box, there is a text input field with the path "D:\E DRIVE\INSPECTION\CYBER SECURITY\" and a "Browse..." button. Below the input field, there is an "UPLOAD DATA" button. At the bottom of the page, there is a section titled "CSAR History".

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".

The screenshot shows a web interface for uploading CSAR data. At the top, there is a section titled "CSAR" with a text input field and a "Browse..." button. Below this is an "UPLOAD DATA" button. A modal window titled "CSAR In Pdf" is open, featuring a "Browse..." button and a message: "*Kindly Download Pdf And Print On The Letter Head Of Auditor With Sign And Stamp Of Auditor And Upload The Same". At the bottom of the modal is an "UPLOAD DATA" button. The background shows a table with columns: Company ID, File Type, Uploaded Date, File Name, Status, Reason, Date, Excel Download, Pdf Download, View (CSAR/CAR/FOR), and Submit.

Company ID	File Type	Uploaded Date	File Name	Status	Reason	Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit
1234	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2020-SEP2020_08012021025834.Xlsm				Download	Download	View	Submit

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.

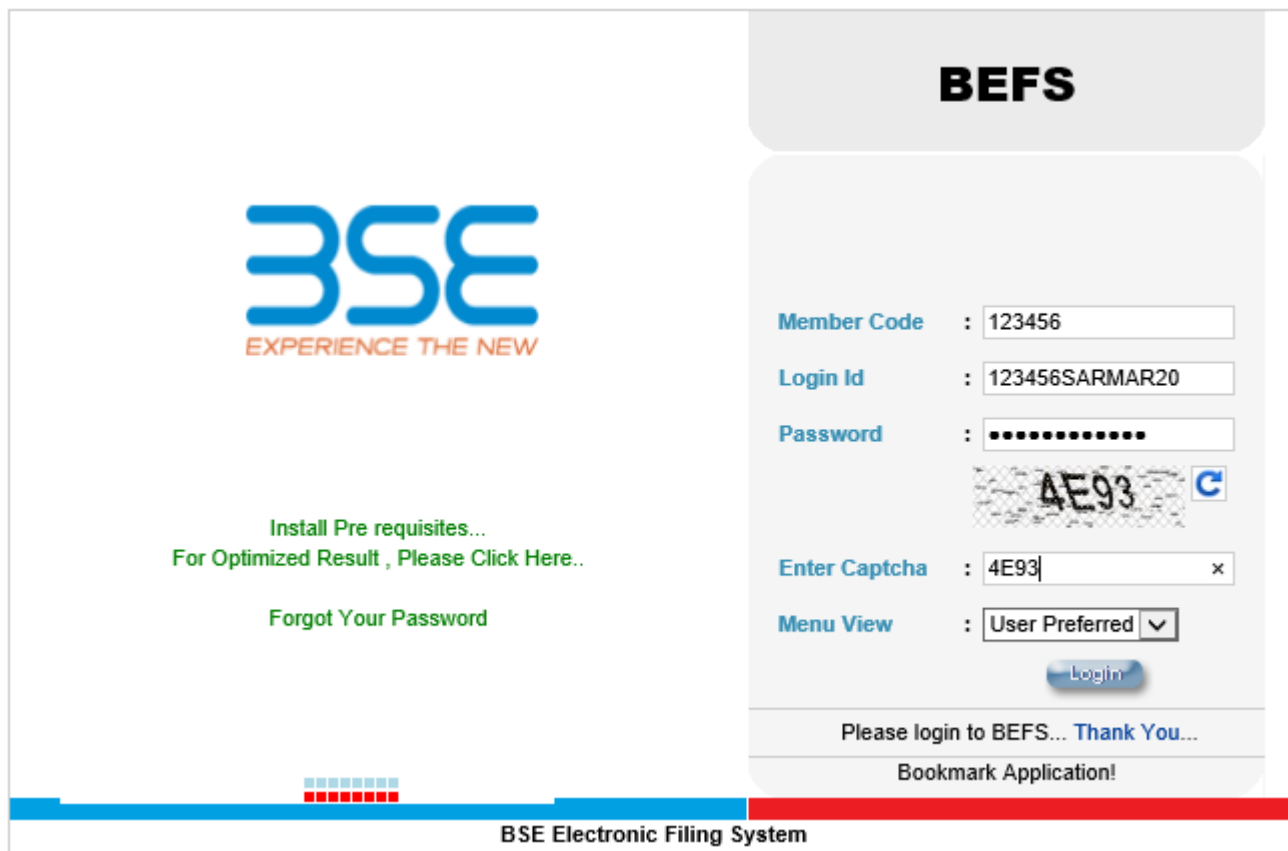
The screenshot shows the same web interface as before, but with a success message modal open. The modal has a blue header with a close button and displays the text: "File Submitted Successfully!!!!!!". Below this, it says "Your Transaction Number For This Submission Is" followed by the transaction number "AUD1234CSHSEP2008012021031740.". The background table is the same as in the previous screenshot, but the "Submit" button for the first row is now labeled "Submitted".

Company ID	File Type	Uploaded Date	File Name	Status	Reason	Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit
1234	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2020-SEP2020_08012021025834.Xlsm				Download	Download	View	Submitted

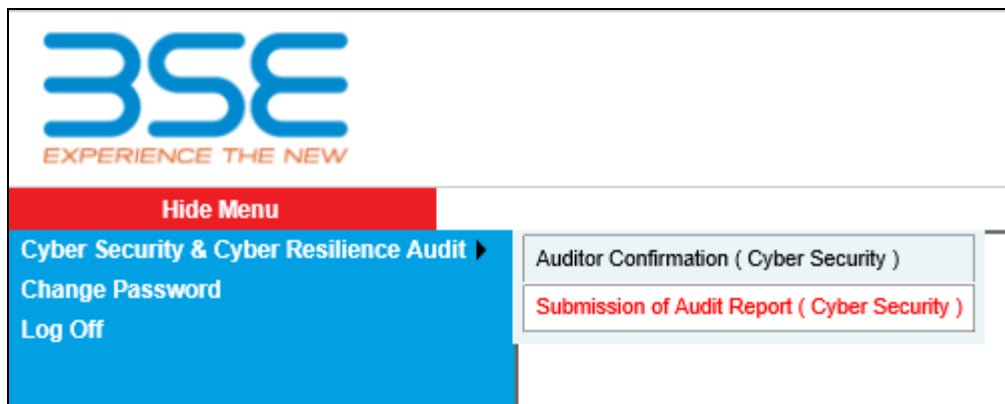
Follow- On Report (FOR) Submission from Auditor Login

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)



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

Back
CSAR
CAR

Download Auditor Uploaded File

Company ID	File Type	Uploaded Date	File Name	Excel Download	Pdf Download
1234	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2020-SEP2020_08012021025834.Xlsm	Download	Download

- 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**.

Auditor Registration no.	PQR123		
Email id of auditor	Josephine.baretto@bseindia.com		
Contact no. of auditor	9876543210		
Address of audit firm	ABC, XYZ		
Designation of auditor	Partner		
PAN no. of auditor	ABCDE1234F		
Audit Mode	Half yearly		>> select drop-down
Filing for (CSAR/CAR/FOR)	FOR	> select drop-down	
Facilities with the stock broker	CSAR		
	CAR		
	FOR		Yes
	IBT		No
	STWT		No
	DMA		No
	SOR		No
	ALGO		No

5. In FOR sheet, fill in the details and validate the FOR Excel sheet and save the file.

Home		Validate					
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	dsfdfs	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 TESTING\
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.

File Submitted Successfully!!!!!!
 Your Transaction Number For This Submission Is
AUD1234CSHSEP2008012021045848.

FOR

[Browse...](#)

Company ID	File Type	Uploaded Date	File Name	Status	Reason	Accepted 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