



# BSE Limited Auditor User Manual for System Audit Report (SAR)

#### System Requirements:

- 1. Microsoft Excel (version 2007 and above)
- 2. Only Internet Explorer (version 11 and above) to be used to submit System Audit Report (SAR).

#### **Procedure for submitting the System Audit Report on BEFS by Auditor:**

1. Member creates Auditor login ID for the latest 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.



Admin <compliance@bseindia.in>



Dear Sir/Madam,

Member (DUMMY (Clg no.123456) has appointed you as system auditor for the submission of system audit report for the period APR19 - MAR20 and TOR type TOR II

Clg. No. of member:	123456
Trading member name:	DUMMY
Login id:	123456SARMAR20
Password:	89440

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

	BEFS
Install Pre requisites For Optimized Result , Please Click Here Forgot Your Password	Member Code : 123456   Login Id : 123456SARMAR20   Password : ••••••••••••••••••••••••••••••••••••
	Please login to BEFS Thank You
	Bookmark Application!

2. For approval of login ID, the auditor will open the following link <u>http://befs.bseindia.com/</u> on

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

CHANGE YOUR PASSWORD H	ERE
Member Code 123456	
User Name 123456SARMAR20	
Old Password •••••	
New Password	
Confirm Password	
- 35CF C	
Enter Captcha 35CF ×	
CHANGE CANCEL	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 SAR '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'.

	SAR AUDITOR DETAILS
Audit Period *: -	APR19 - MAR20 V
TOR Type :-	TOR II
Name Of The Member *: -	DUMMY
Clg No *: -	123456
Audit Firm Name *: -	ABCD LTD
Audit Firm Registration No *: -	ABCD1234567
Auditor Name *: -	ABCD
Qualification *: -	DISA 🗸
Auditor Registration No (DISA/CISA/CISSP/CISM) *: -	QWERTV12345678
PAN No. Of The Auditor *: -	CVOK59834P
Email Id Of Auditor *: -	TUSHAR.SHETTY@BSEINDIA.COM
Contact No. Of Auditor *: -	111111111
Address Of Auditor: *:-	ABCD
	UPDATE

- 6. Click on 'Print' button which will generate a pdf containing the details filled by you in SAR '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.\_TORII\_UND\_SEP20.pdf'

	SAR AUDITOR DETAILS
Audit Period *: -	APR19 - MAR20
TOR Type : -	TOR II
Name Of The Member *: -	DUMMY
Clg No *: -	123456
Audit Firm Name *: -	ABCD LTD
Audit Firm Registration No *: -	ABCD1234567
Auditor Name *: -	ABCD
Qualification *: -	DISA 🗸
Auditor Registration No (DISA/CISA/CISSP/CISM) *: -	QWERTY12345678
PAN No. Of The Auditor *: -	CVOK59834P
Email Id Of Auditor *: -	TUSHAR.SHETTY@BSEINDIA.COM
Contact No. Of Auditor *: -	111111111
Address Of Auditor: *:-	ABCD
Note : "Auditor Has To Take The Print On The I	PRINT
Upload File *: -	Browse File Nomenclature :: 123456_TORII_UND_MAR20.PDF
	FINAL SUBMIT
Yo	U 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 pop up to re-login to start the submission.

		SAR AUDITOR DETAILS
Audit Period *: -		APR19 - MAR20 V
TOR Type : -		TOR II
Name Of The Member *: -		DUMMY
Clg No *: -		123456
Audit Firm Name *: -		ABCD LTD
Audit Firm Registration No *:	-	ABCD1234567
Auditor Name *: -	Message from webp	page X
Qualification *: -		
Auditor Registration No (DISA/CISA/CISSP/CISM) *: -		REQUEST IS SUBMITTED, KINDLY RE - LOGIN FOR FILE
PAN No. Of The Auditor *: -	OPLOAD.	
Email Id Of Auditor *: -		
Contact No. Of Auditor *: -		ОК
Address Of Auditor: *:-		
Upload File *: -		Browse         File Nomenclature :: 123456_TORII_UND_MAR20.PDF           123456_TORII_UND_MAR20.PDF
		AUDITOR REQUEST IS SUBMITTED

	BEFS
Install Pre requisites For Optimized Result, Please Click Here Forgot Your Password	Member Code : 123456   Login Id : 123456SARMAR20   Password : ••••••••••••••••••••••••••••••••••••
	Please login to BEFS Thank You
	Bookmark Application!

8. For submission of System 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 'Auditor Details' > System Audit Reporting. Download the Excel Template and fill in the required details.

DOWNLOAD TOR II TEMPLATE	Download Excel T	emplate
	DOWNLOAD TOR II TEM	PLATE

10. After downloading the SAR Excel Template go to download and right click on the SAR Excel Template then go into properties, there you will see "unblock" option in the General section below attributes, click on the unblock box → Apply close the dialogue box and open the SAR Excel Template (These steps will enable the Editing in the SAR Excel Template.)

Open	Le la	- General Secu	rity Details Previous Versions	
New Print	AF UI		TOR II_MAR23	
<ul> <li>Klassify</li> <li>Scan with Cortex XDR</li> <li>Share</li> </ul>	> m m	5 Type of file: 4 Opens with:	Microsoft Excel Macro-Enabled Wo	orksheet (xlsm) Change
Open with Give access to Scan for threats		2 Location: Size: Size on disk:	C:\Users\msc\Downloads 280 KB (2,87,498 bytes) 284 KB (2,90,816 bytes)	
Restore previous versions Send to		Created: Modified:	21 April 2023, 18:05:16 21 April 2023, 18:05:18	
Cut Copy	1K n'	Accessed: Accessed: Attributes:	21 April 2023, 18:07:29	Advanced
Create shortcut Delete Rename		Security:	This file came from another computer and might be blocked to help protect this computer.	Unblock
Properties		]	OK Cancel	Apply

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

File H Paste S V	<b>•</b>	ilas Data Revi 三三三 ※ ・ こ三三 三三 三 回	· · · · · · · · · · · · · · · · · · ·	Help Conditional Formatting		ell les v
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J SECUR	ITY WARNING Macros have been disabled.	Enable Content	Click here to	Enable C	ontent	
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CD	E		F	G	н	I J
	Home Validate	]				
		Auditors Det	ail			
	Clearing No					
)	Audit period Start Date		01	04		
1	Audit period End Date		31	03		
2	Audit Date					
3	Audited by			>> select of	drop-down	
	Audit firm registration no.					

7

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.

C D	E	F	G	н	
18	Email id of auditor				
19	Contact no. of auditor				
20	Address of audit firm				
21	Designation of auditor				
22	PAN no. of auditor				
23	TOR Type	Ш			
24	Are you Stock Broker / Auditor	Auditor	→ > select	drop-down	
25	Filing for (SAR/CAR/FOR)	Auditor Stock Broker	> select	drop-down	1
26					-
27		IML			]
28		IBT			
29	Facilties with the stock broker	STWT			
30		DMA			
31		SOR			

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

ية 10	F	G Home Validate	H	I	J
11	Audit TOR Clause	Details	Audit Date	Audited by	Observation no
12	1	System controls and capabilities(IML terminals and servers)			
13	1a	Order Tracking - The system auditor should verify system process and controls at IML terminals and IML servers covering order entry, capturing of IP address of order entry terminals, modification / deletion of orders, status of current order/outstanding orders and trade confirmation	07-04-2020	CISM	1

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

Step 1: Complete all Worksheets below:	Step 2: Enter Data	
Select the sheet you wish to go to:	2 Enter D File	ata in relevant sheets & Save
General Information	]	Colleges
SAR	Step 3: Validate All Sh	neets
	3	Validate All Shee
	Step 4: Generate XML	/XBRL
	4	Generate XML
	Step 5: Generate Rep	oort
	5	Generate Report
DCC		
		<b>OVISTA</b>

15. In BEFS, login> System Audit Reporting > Click on **TOR** button and Browse and attach 'SAR EXCEL Sheet' and click on 'Upload Data'.

Back TOR II		Auditor ID: 123456SARMAR20
	TOR II D:\MY WORKING DIRECTORY\SAR SYSTEM TESTING Browse	
	BSE - PUBLIC	Page

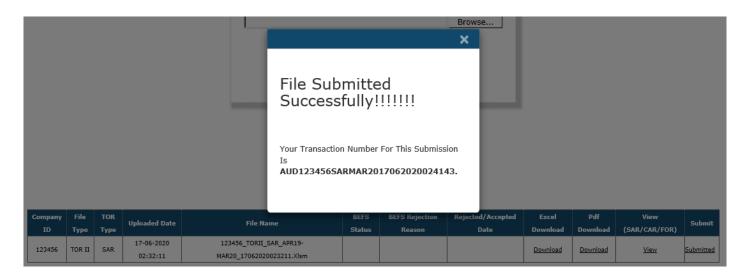
16. Once EXCEL Sheet gets uploaded it gets converted into a PDF file. Download the PDF and print on the letter head of Auditor.



17. After printing 'TOR' PDF on the letter head of Auditor, get it signed and stamped and scan the 'TOR Pdf' to submit it on BEFS. Kindly browse, select and upload the scanned 'TOR pdf'. Auditor can upload digitally signed TOR scanned file in pdf format.

				*Kindly D Head Of Auditor A	TOR II Ir Download Pdf And Auditor With S Ind Upload The Sar UPLOAD D	Browse Print On The Lei ign And Stamp me ATA	Of	This po browse will be	p-up option opened	After Clic on Subm	
Company ID	File Type	TOR Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/Accepted Date	Excel Download	Pdf Download	View (SAR/CAR/FOR)	Submit
123456	TOR II	SAR	17-06-2020 02:32:11	123456_TORII_SAR_APR19- MAR20_17062020023211.Xlsm				Download	Download	View	<u>Submit</u>

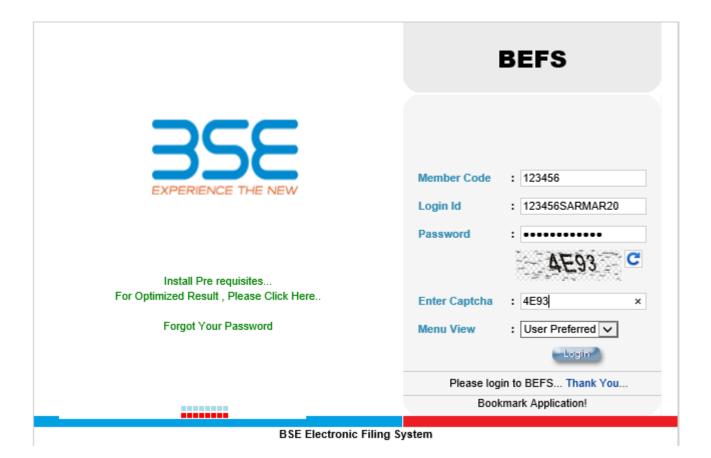
18. After uploading TOR PDF with sign & stamp of the auditor, the following text box will be displayed. Auditor can see a transaction number for this submission and member will receive acknowledgement mail to process further.



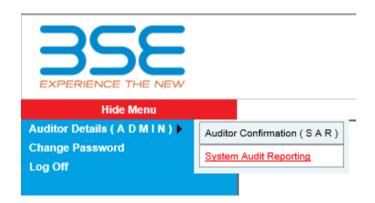
## Follow On Report (FOR) Submission from Auditor Login

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

1. The auditor will open the following link http://befs.bseindia.com/ on Internet Explorer and will enter his login credentials to login.



2. In Auditor Details > System Audit Reporting



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

					UPLOAD		Browse	d the Exc	el Temp	plate	
				TOR	R II I	History		₽			
Company ID	File Type	TOR Type	Uploaded Date	File Name	BEFS Status	BEFS Rejection Reason	Rejected/Accepted Date	Excel Download	Pdf Download	View (SAR/CAR/FOR)	Submit
123456	TOR II	SAR	17-06-2020 02:32:11	123456_TORII_SAR_APR19- MAR20_17062020023211.Xlsm				Download	Download	View	Submitted

4. After downloading the template > **Open the template** and **enable the macros** and change **Filing for (SAR/CAR/FOR)** to **FOR (Follow on Audit Report) then Validate the sheet.** 

CD	E	F	G	Н	I J
15	Audit firm name	MNM Associate			
16	Auditor name	Manish Mehta			
17	Auditor Registration no. (DISA/CISA/CISM/CISSP)	msdnasd3328483294			
18	Email id of auditor	manish@mnmassociate.com			
19	Contact no. of auditor	1234567890			
20	Address of audit firm	VIVEK-2, GROUND FLOOR			
21	Designation of auditor	Partner			
22	PAN no. of auditor	CVRAM1234W			
23	TOR Type	Ш			
24	Are you Stock Broker / Auditor	Auditor	>> select of	drop-down	
25	Filing for (SAR/CAR/FOR)	FOR	⇒>select o	drop-down	
26		SAR CAR			
27				Yes	
28		IBT		Yes	

5. In FOR sheet, kindly fill in the below mentioned details and validate it and save the file. You would have to only enter details in columns which are to be filled by Auditor.

Home Validate			To be filled by auditor							Member	
TO R Typ	TOR Clause	Observation raised(TOR clause)	Preliminary status	Preliminary Corrective action	Current Finding	Current Status	Revised Corrective Action	Deadline for the revised corrective action	Verified by	Closing date	Trading member Management
	1	System controls and capabilities(IML terminals and servers)									
"	1Ь	Drder Status! Capture - Whether the system has capability to generate / capture order id, time stamping, order type, scrip details, action, quantity, price and validity, etc.	Non Compliant	Suggested Corrective Action							

6. In TOR Tab, scroll down below to **TOR Browse Button** there is browse button to upload **FOR Excel Sheet (Follow on Audit Report)** 

No Records Found!

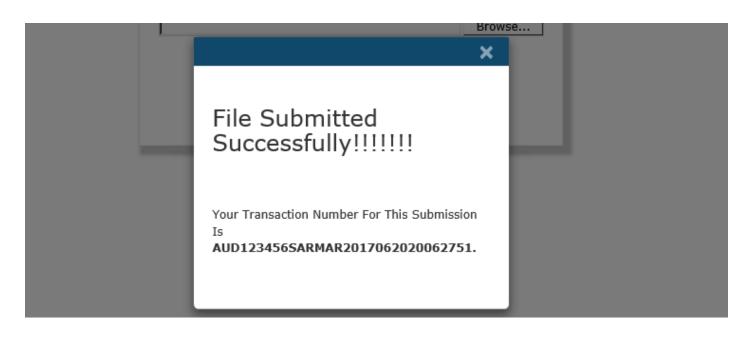
7. Once EXCEL Sheet gets uploaded it gets converted into PDF file. Download the PDF and print on the letter head of Auditor.



8. After printing **'FOR' PDF** on the letter head of Auditor, get it signed and stamped and scan the **'FOR Pdf'** to submit it on BEFS. Kindly browse, select and upload the scanned **'FOR pdf'**. Auditor can upload digitally signed **FOR** scanned file in pdf format.



9. After uploading TOR PDF signed & stamp of the auditor, the following text box will be displayed. Auditor can see a transaction number for this submission and member will receive an acknowledgement mail to process further.



### \*\*\*END OF DOCUMENT\*\*\*\*\*