2023

BSE Limited
Member User Manual for System Audit Report (SAR)

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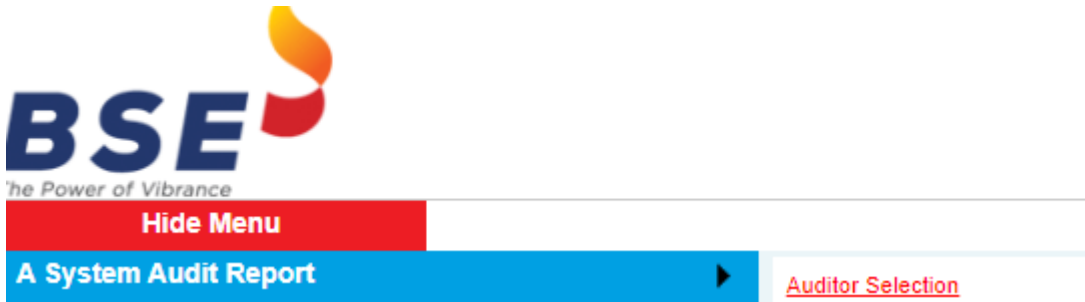2. Only Internet Explorer (version 11 and above) to be used to submit System Audit Report.

Procedure for submitting the System Audit Report on BEFS by Member:

1. Member logs into BEFS on Internet Explorer

2. Select System Audit Report > Auditor selection

BSE
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Hide Menu		
A System Audit Report	▶	Auditor Selection

3. Fill **'SAR Auditor Details'** screen for selection of auditor and tick on the undertaking for appointing the Audit firm/Auditor. Then click on 'Save' button to submit auditor details.

SAR AUDITOR DETAILS			
Member Code	1231	Member Name	DUMMY_1231

☐ *:- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the System audit as per details provided below:

Audit Period *: -	SELECT ▾
TOR Type : -	

NOTE : "Exchange Has Categorized You As Per TOR Type And Audit Period Mentioned Above. In Case Of Any Discrepancy, Please Contact Us At Msc@Bseindia.com Or Call On 22728317 / 22728694.

Audit Firm Name *: -	
Audit Firm Registration No *: -	
Auditor Name *: -	
Qualification *: -	CISA ▾
Auditor Registration No (DISA/CISA/CISSP/CISM) *: -	
PAN No. Of The Auditor *: -	
Email Id Of Auditor *: -	
Contact No. Of Auditor *: -	
Address Of Auditor: *:-	
Member Contact Person's Details	
Contact Person Name: *:-	
Contact Person No *: -	
Contact Person Email *:-	

4. The Audit details cannot be saved till the check box for undertaking is ticked. A prompt will be displayed as illustrated below to tick the undertaking.

SAR AUDITOR DETAILS			
Member Code	1231	Member Name	DUMMY_1231

☐ *:- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the System audit as per details provided below:

Audit Period *: -	OCT21 - MAR22 ⌄
TOR Type : -	**TOR III**

NOTE : "Exchange has categorized you as per TOR Type and Audit Period mentioned above. In case of any discrepancy, please contact us at msc@bseindia.com or call on 22728317 / 22728694.

Message from webpage ✕

⚠ CheckBox selection is Mandatory....!

OK

Audit Firm Name *: -	
Audit Firm Registration No *: -	
Auditor Name *: -	
Qualification *: -	
Auditor Registration No(DISA/CISA/CISSP/	
PAN No. Of The Auditor *: -	ABCDE1234F
Email Id Of Auditor *: -	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact No. Of Auditor *: -	9876543210
Address Of Auditor: *:-	ABC,PQR
Member Contact Person's Details	
Contact Person Name: *:-	JOSEPHINE BARETTO
Contact Person No *: -	9876543210
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM

SAVE

5. Once the auditor details are entered and the undertaking check box is ticked, click on 'Save' button after which a text message will be displayed "Data Successfully Saved". Then click on 'Generate Login ID' after which the auditor will receive a mail consisting of Auditor's Login Credentials.

SAR AUDITOR DETAILS			
Member Code	1231	Member Name	DUMMY_1231

☑ *:- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the System audit as per details provided below:

Audit Period *: -	OCT21 - MAR22 ⌄
TOR Type : -	**TOR III**

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Message from webpage ✕

⚠ DATA SUCCESSFULLY INSERTED.

OK

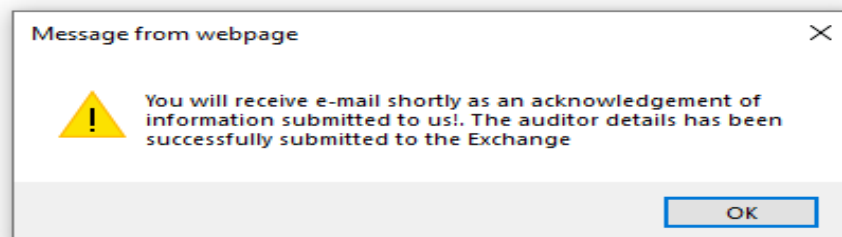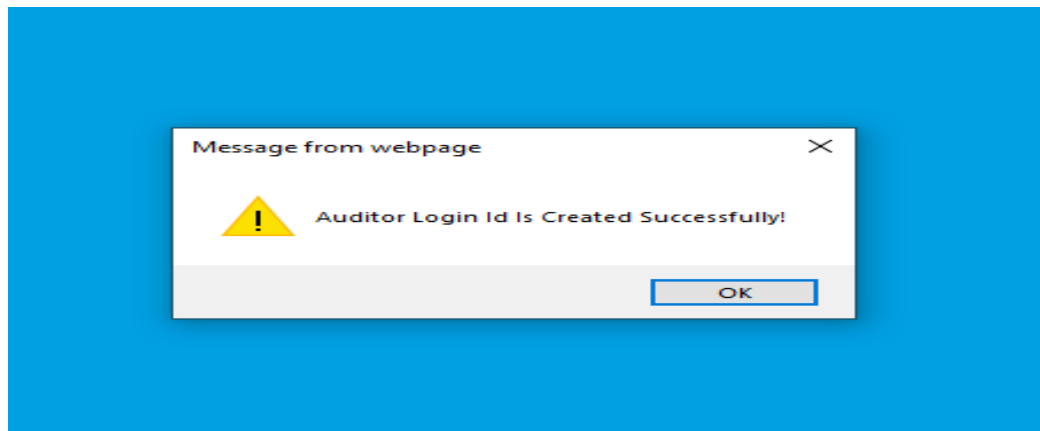|	
Audit Firm Name *: -	
Audit Firm Registration No *: -	
Auditor Name *: -	
Qualification *: -	
Auditor Registration No(DISA/CISA/CISSP/CIS	
PAN No. Of The Auditor *: -	ABCDE1234F
Email Id Of Auditor *: -	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact No. Of Auditor *: -	9876543210
Address Of Auditor: *:-	ABC,PQR
Member Contact Person's Details	
Contact Person Name: *:-	JOSEPHINE BARETTO
Contact Person No *: -	9876543210
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM

UPDATE   **GENERATE LOGIN ID**

6. Then click on 'Generate Login ID' then your auditor will receive a mail consisting Auditor's Login Credentials.

SAR AUDITOR DETAILS			
Member Code	1231	Member Name	DUMMY_1231

☑ *:- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the System audit as per details provided below:

Audit Period *: -	OCT21 - MAR22 ▾
TOR Type : -	**TOR III**

NOTE : "Exchange has categorized you as per TOR Type and Audit Period mentioned above. In case of any discrepancy, please contact us at msc@bseindia.com or call on 22728317 / 22728694.

Audit Firm Name *: -	ABC ASSOCIATES
Audit Firm Registration No *: -	ABC1234
Auditor Name *: -	JOSEPHINE BARETTO
Qualification *: -	DISA ▾
Auditor Registration No(DISA/CISA/CISSP/CISM) *: -	PQR1234
PAN No. Of The Auditor *: -	ABCDE1234F
Email Id Of Auditor *: -	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact No. Of Auditor *: -	9876543210
Address Of Auditor: *:-	ABC,PQR

Member Contact Person's Details

Contact Person Name: *:-	JOSEPHINE BARETTO
Contact Person No *: -	9876543210
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM

UPDATE   GENERATE LOGIN ID

Message from webpage   ✕

⚠ Auditor Login Id Is Created Successfully!

OK

Message from webpage   ✕

⚠ You will receive e-mail shortly as an acknowledgement of information submitted to us!. The auditor details has been successfully submitted to the Exchange
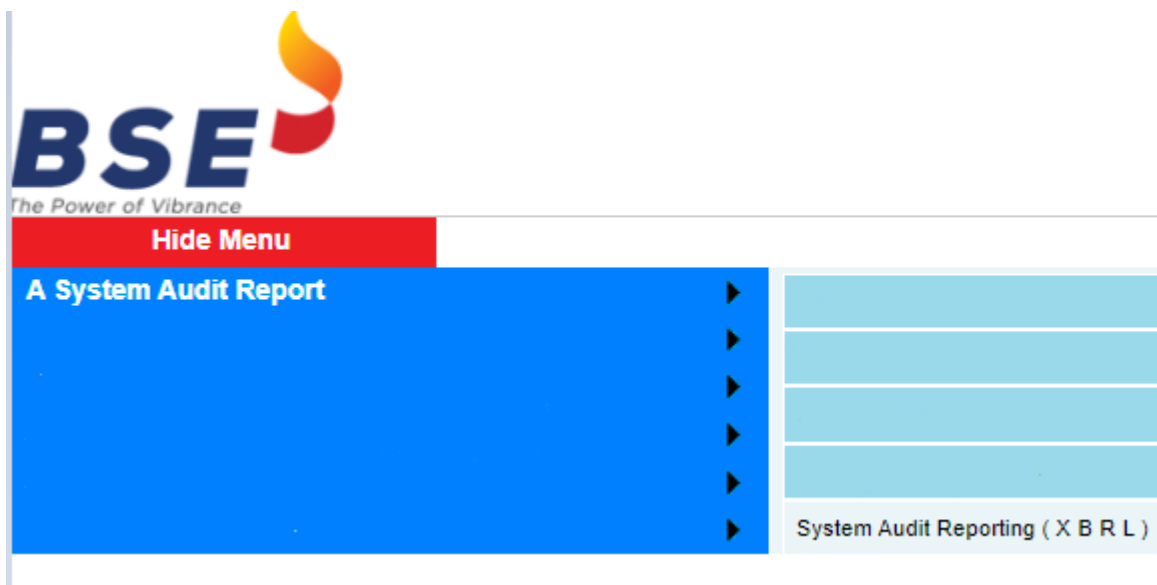
OK

7. After generating the email ID for auditor if the Member wants to deactivate the login and re-assign the audit assignment to a new auditor, click on **'Deactivate'** and fill in the details again

SAR AUDITOR DETAILS			
Member Code	1231	Member Name	DUMMY_1231

☑ *:- I/We hereby provide an express undertaking with regards to appointment of following audit firm/ auditor to conduct the System audit as per details provided below:

Audit period *: -	OCT21 - MAR22 ⌄
TOR Type : -	**TOR III**

NOTE : "Exchange has categorized you as per TOR Type and Audit Period mentioned above. In case of any discrepancy, please contact us at msc@bseindia.com or call on 22728317 / 22728694.

Audit Firm Name *: -	ABC ASSOCIATES
Audit Firm Registration No *: -	ABC1234
Auditor Name *: -	JOSEPHINE BARETTO
Qualification *: -	DISA ⌄
Auditor Registration no(DISA/CISA/CISSP/CISM) *: -	PQR1234
PAN no. of the auditor *: -	ABCDE1234F
Email id of auditor *: -	JOSEPHINE.BARETTO@BSEINDIA.COM
Contact no. of auditor *: -	9876543210
Address of auditor: *:-	ABC,PQR

Member Contact Person's Details

Contact person Name: *:-	JOSEPHINE BARETTO
Contact person No *: -	9876543210
Contact Person Email *:-	JOSEPHINE.BARETTO@BSEINDIA.COM

DEACTIVE

Here, once the Auditor submits the report following the steps mentioned (Steps 1 to 17) in the Auditor User Manual for System Audit Report (SAR), Member receives an email requesting to review and to enter the management comments to submit the same to the Exchange on their letter head.

8. Member logins to BEFS from Internet Explorer
9. Select System Audit Report > System Audit Reporting (Xbrl)

10. Upon selecting System Audit Reporting (Xbrl), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'TOR EXCEL Sheet' uploaded by the Auditor.

11. Once the auditor uploaded EXCEL file is downloaded and opened, click on **'Enable Content'** to enable to macros first.

9. In the **'General Information'** sheet, first select **'Stock Broker'** from dropdown list for **"Are You Stock Broker / Auditor"** option. Then click on **'Validate'** to fill management comment. **In case of Compliant areas there is no need of Management Comment.**

10. After successfully filling & validating all the sheets in the **TOR EXCEL Sheet**, then login to BEFS with Member's login credentials and click on **'TOR'** to upload the **TOR EXCEL Sheet**. After that, select respective submission period. After that click on **'Browse'** button and select the filled **TOR EXCEL Sheet** to upload. Then click on **'Upload Data'** to upload file to the Exchange.
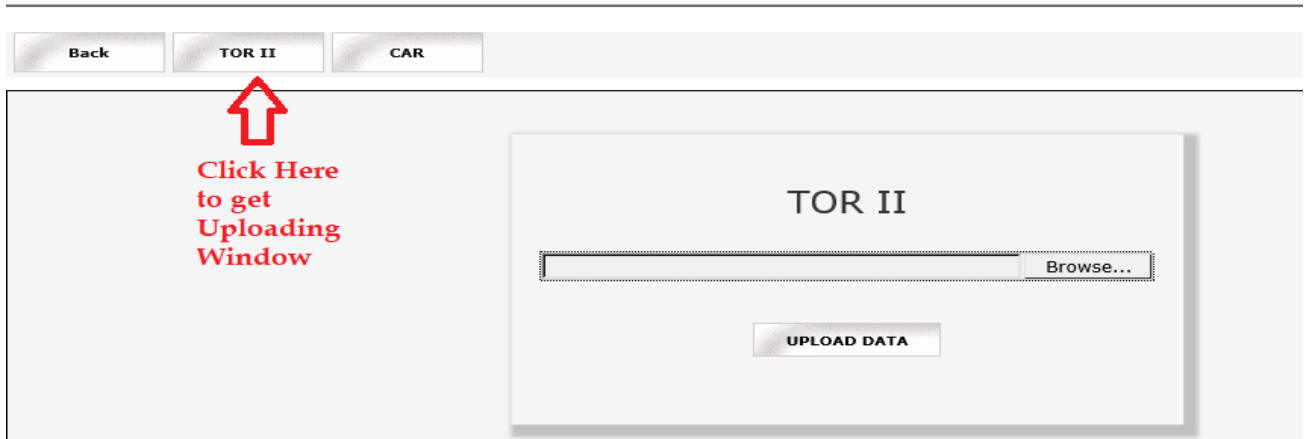
11. Once **TOR EXCEL Sheet** gets uploaded it gets converted into a PDF file. Download the **TOR PDF** and print on the letter head of Member.
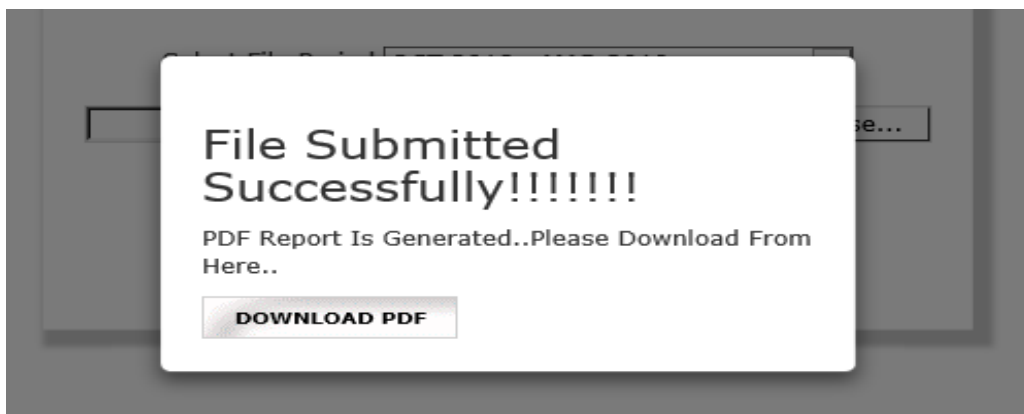
12. After printing **'TOR'** PDF on the letter head of Member, get it signed and stamped and scan the **'TOR Pdf'** to submit it on BEFS. Kindly browse, select and upload the scanned **'TOR pdf'**. Member can upload digitally signed **TOR** scanned file in pdf format.

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	Submit
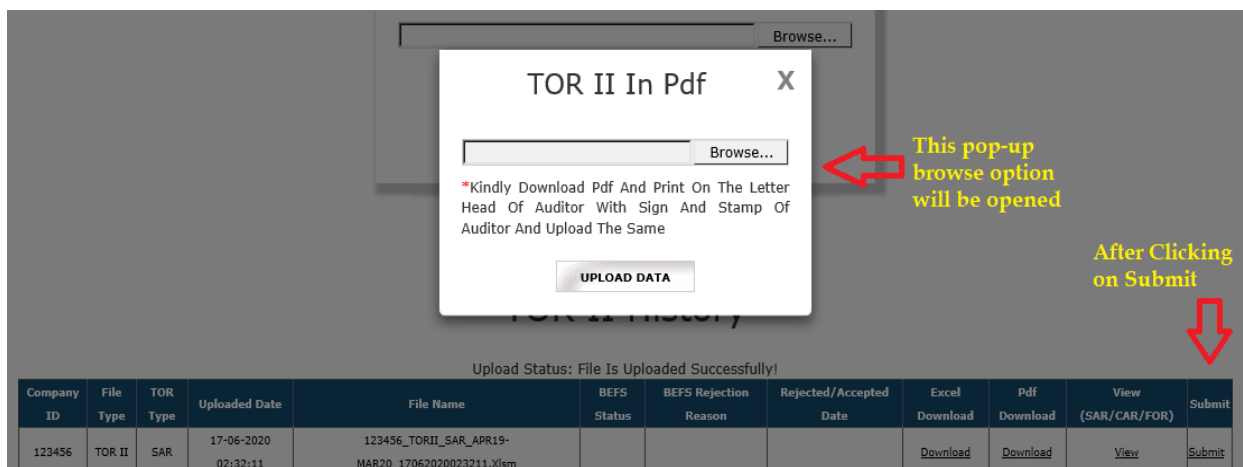
13. After clicking on the **"UPLOAD DATA"** button, the following text box will be displayed. Member can see a transaction number for this submission. Also, Member will get an email confirmation for this submission.


File Submitted Successfully!!!!!!!

Your Transaction Number For This Submission Is **MEM12345617062020030357**.

Upload Status: File Is Uploaded Successfully!

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	Allow Auditor To Resubmit
123456	TOR II	SAR	17-06-2020 02:32:11	123456_TORII_SAR_APR19-MAR20_17062020030314.Xlsm				Download	Download	View	Submitted	☐

14. **Re-Submission of System Audit Report:** In case the exchange rejects the report, there is a provision available to the Member to re-submit the report.

   a. In case where the member has to do changes in the report then it would be mentioned in the rejection email the reason of rejection and the member has to re-submit.
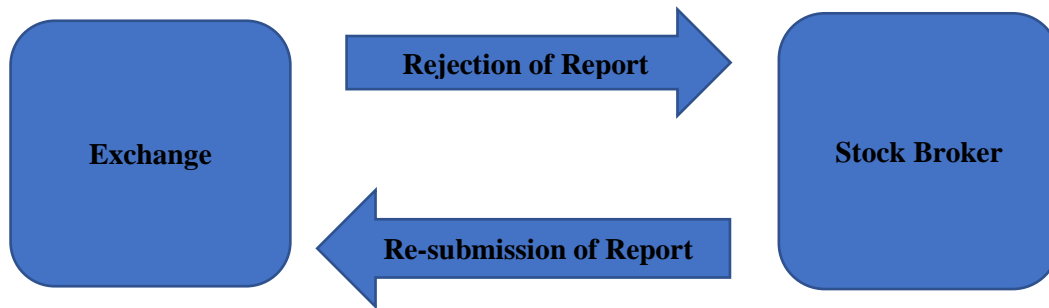
   b. In case where the auditor has to make changes in the report then it would be mentioned in the rejection email the reason of rejection and the Member has to click on the allow auditor to re-submit tick that the auditor can re-submit and the Member can re-submit it to exchange.

Message from webpage ×

? Are you sure you want to allow resubmission to auditor?

OK   Cancel

TOR II 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	Allow Auditor To Resubmit
123456	TOR II	SAR	17-06-2020 02:32:11	123456_TORII_SAR_APR19-MAR20_17062020030314.Xlsm	REJECTED	Annexure II Not Signed	17-06-2020 03:13:24	Download	Download	View	Submitted	☑
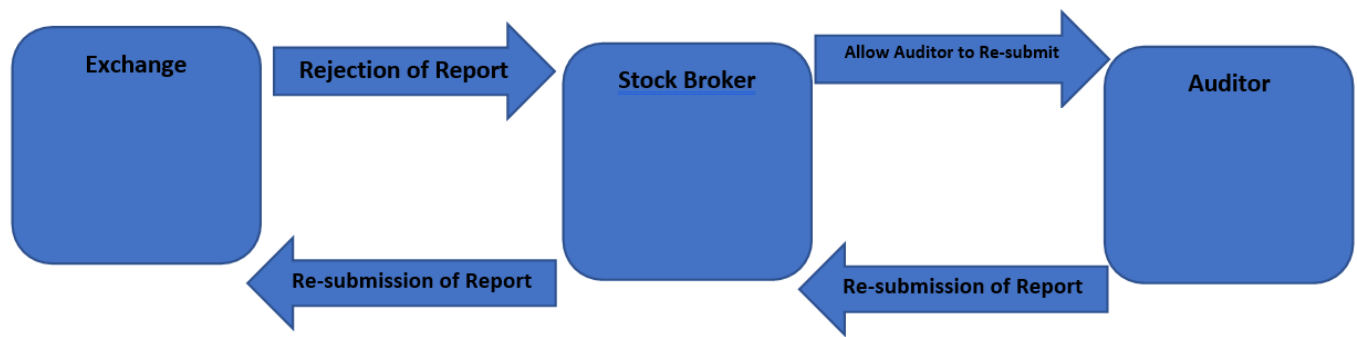
Follow On Report Submission from Member's Login

Here, once the Auditor submits the report following the steps mentioned (Steps 1 to 9) in the Auditor User Manual for System Audit Report (SAR), Member receives an email requesting to review and to enter the management comments to submit the same to the Exchange on their letter head.

1. Member logins to BEFS on Internet Explorer
2. Select System Audit Report **>** System Audit Reporting (Xbrl)
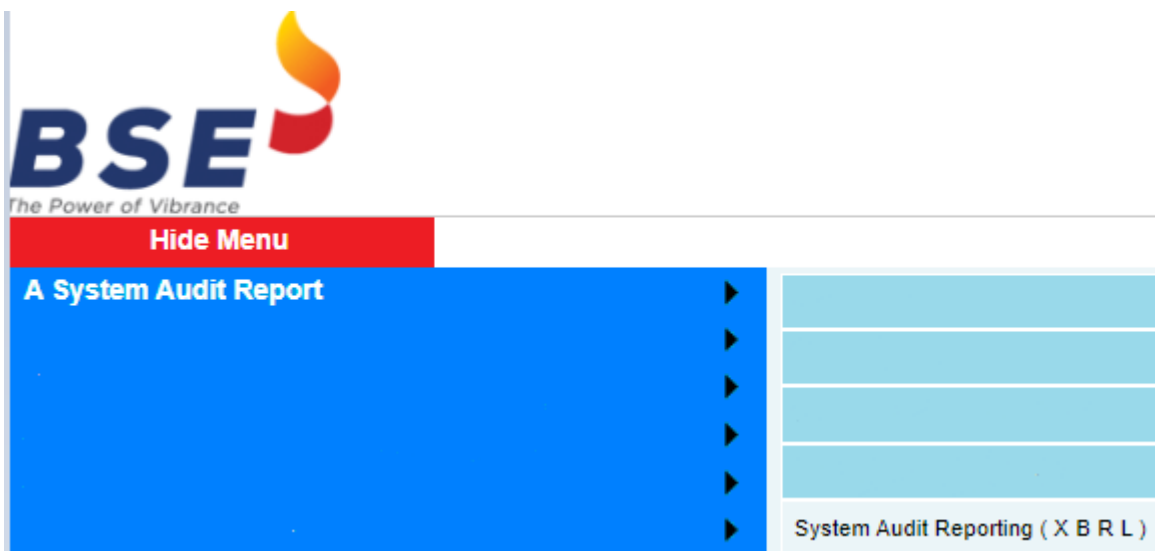
3. Upon selecting System Audit Reporting (Xbrl), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'FOR Excel Sheet' uploaded by the Auditor.

Download Auditor Uploaded File

Company ID	File Type	TOR Type	Uploaded Date	File Name	Excel Download	Pdf Download
123456	TOR II	SAR	17-06-2020 02:32:11	123456_TORII_SAR_APR19-MAR20_17062020023211.Xlsm	Download	Download
123456	TOR II	FOR	17-06-2020 06:27:52	123456_TORII_FOR_APR19-MAR20_17062020062752.Xlsm	Download	Download

4. Once the auditor uploaded EXCEL file is downloaded and opened, click on **'Enable Content'** to enable to macros first.
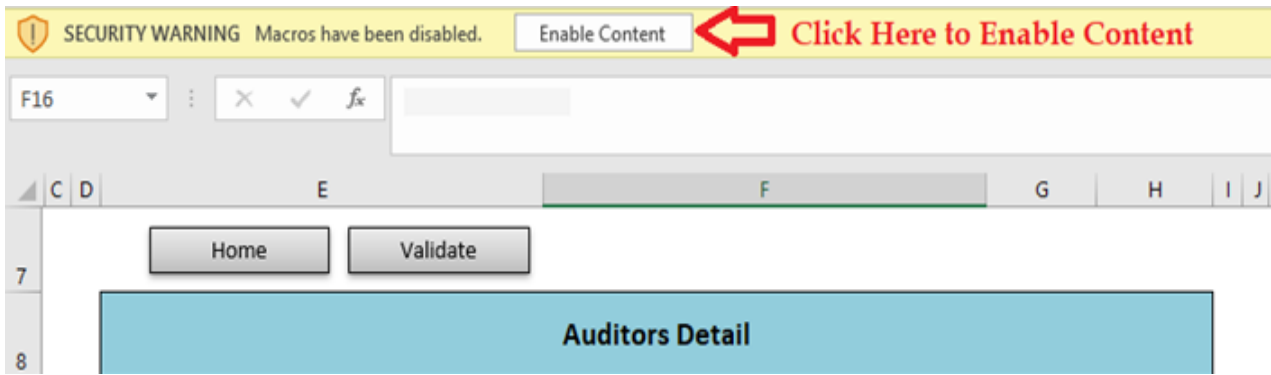
5. In the 'General Information' sheet, first select 'Stock Broker' from dropdown list for "Are You Stock Broker / Auditor" option. Then click on 'Validate' to fill management comment in case of 'Non-Compliant'.

6. Wherever the Auditor has marked the 'Preliminary Status' column as 'Non-Compliant', fill in the management comments then click on 'Validate'.

7. In TOR Tab, scroll down below to TOR Browse Button there is browse button to upload FOR (Follow on Audit Report)
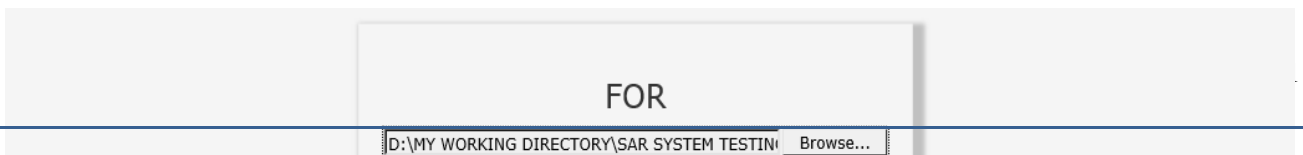
8. Once EXCEL Sheet gets uploaded it gets converted into PDF file. Download the PDF and print on the letter head of Auditor.
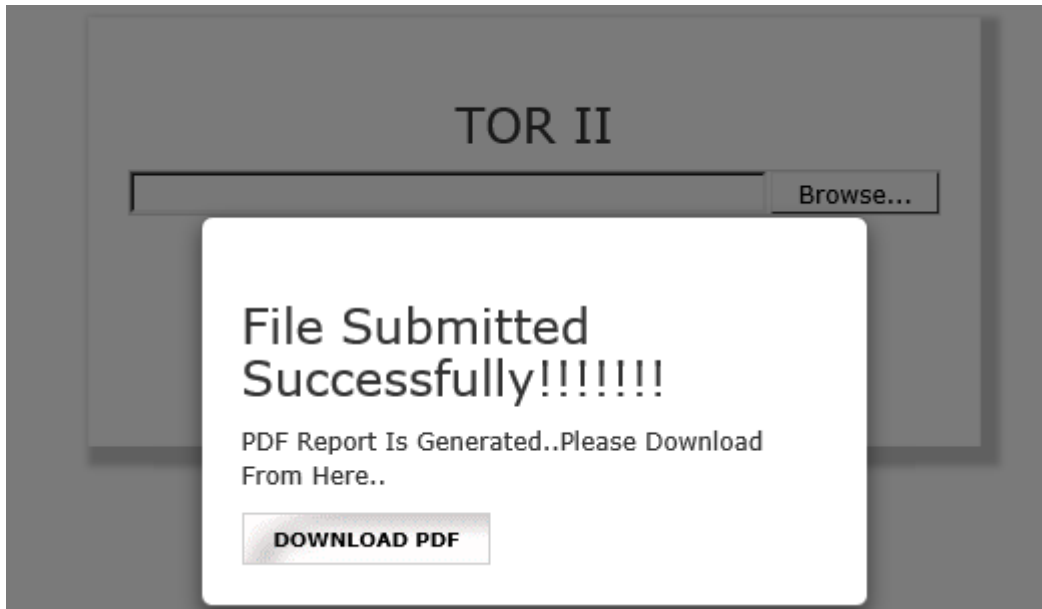
9. After printing 'FOR' PDF on the letter head of Member, get it signed and stamped and scan the 'FOR Pdf' to submit it on BEFS. Kindly browse, select and upload the scanned 'FOR pdf'. Auditor can upload digitally signed FOR scanned file in pdf format.


10. After uploading TOR PDF with sign & stamp of the Member, the following text box will be displayed. Member can see a transaction number for this submission and member will receive an acknowledgement mail.
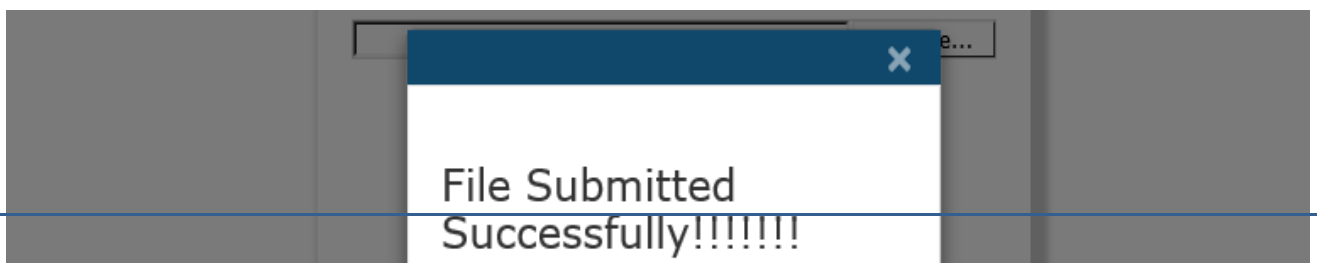
Corrective Action Report (CAR) Submission from Member's Login

Once the Member submits the System Audit Report (TOR) and if the member needs to submit the corrective action report, he would have to refer the steps mentioned below:

1. Member logins to BEFS on Internet Explorer
2. Select System Audit Report > System Audit Reporting (Xbrl)
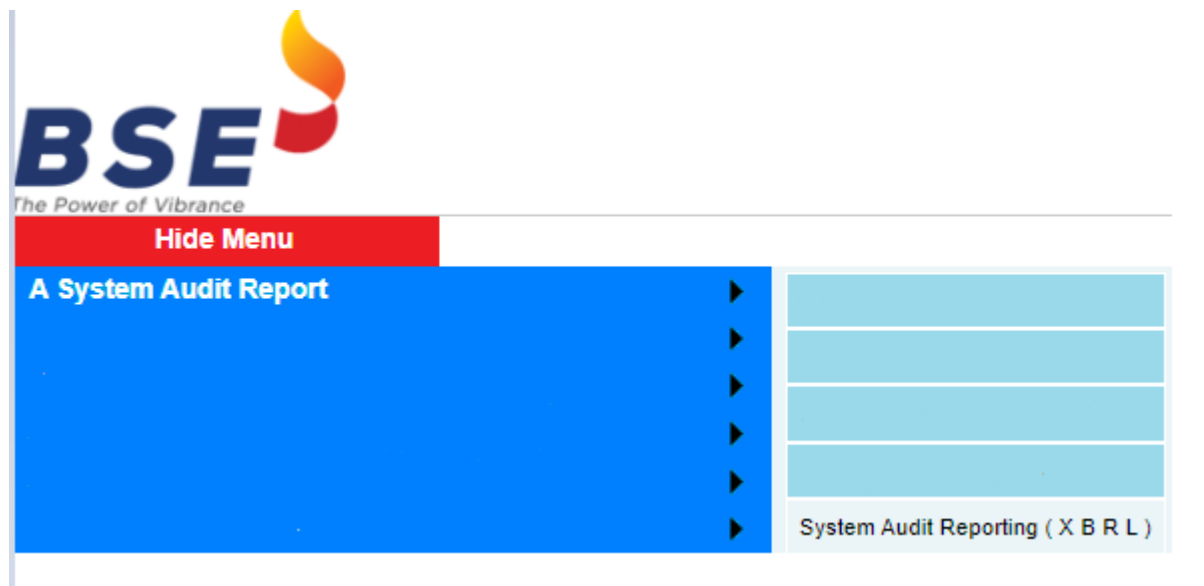
3. Upon selecting System Audit Reporting (Xbrl), the following table will be displayed. Click on 'Download' option under 'Excel Download' header to download the 'TOR EXCEL Sheet' uploaded by the Auditor.
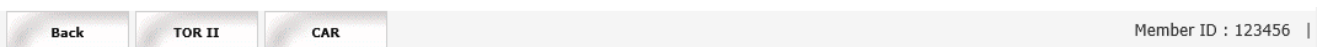
Download Auditor Uploaded File

Company ID	File Type	TOR Type	Uploaded Date	File Name	Excel Download	Pdf Download
123456	TOR II	SAR	16-06-2020 02:56:42	123456_TORII_SAR_APR19-MAR20_16062020025642.Xlsm	Download	Download

Back   TOR II   CAR   Member ID : 123456 |

4. After downloading the template > Open the template and enable the macros and change **Filing for (SAR/CAR/FOR)** to **CAR (Corrective Action Report)** then click on **'Validate'** to proceed further.

5. In CAR sheet, kindly fill in the below mentioned details and click on **'Validate'** and then save the file.

6. **Click on CAR Tab**, there is browse button to upload **CAR Excel Sheet (Corrective Action Report).**

7. Once EXCEL Sheet gets uploaded it gets converted into PDF file. Download the PDF and print on the letter head of Member.
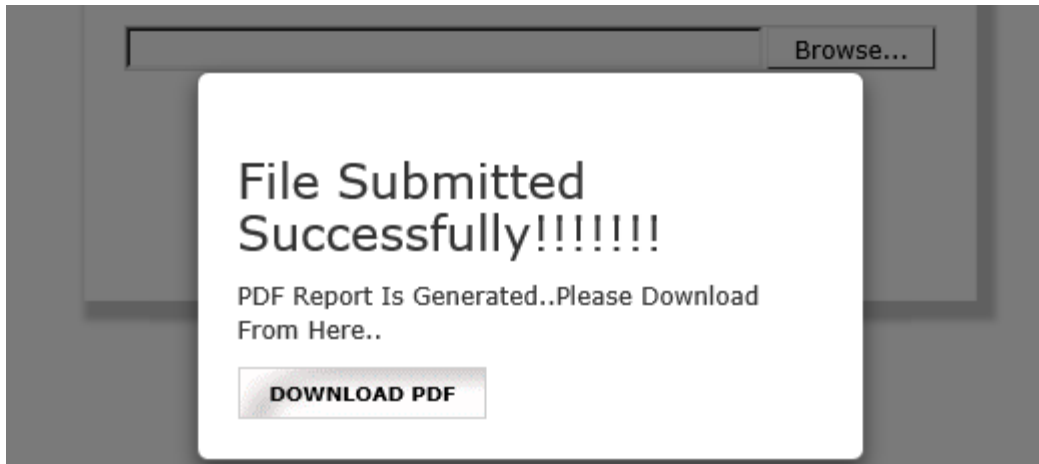
11. After uploading CAR PDF with sign & stamp of the Member, the following text box will be displayed. Member can see a transaction number for this submission and member will receive an acknowledgement mail.

****END OF DOCUMENT****