2023

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>
To
13:11

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

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.

4. After changing the password, Auditor has to re-login with new password. Auditor will have to click on 'Auditor confirmation'.
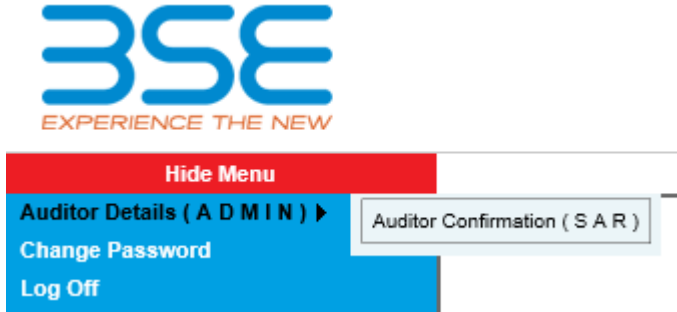
5. After clicking on 'Auditor confirmation', select 'Audit Period' from the drop-down list in SAR 'Auditor Details' screen. In the auto-populated fields:
   a) If the auditor wants to make any changes, they can make changes, click on 'Save' and then click on 'Submit'.
   b) If details are correct, then directly click on 'Submit'.

SAR AUDITOR DETAILS	
Audit Period *: -	APR19 – MAR20 ▼
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 *: -	CVOKS9834P
Email Id Of Auditor *: -	TUSHAR.SHETTY@BSEINDIA.COM
Contact No. Of Auditor *: -	1111111111
Address Of Auditor: *:-	ABCD
	UPDATE SUBMIT

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 *: -	CVOKS9834P
Email Id Of Auditor *: -	TUSHAR.SHETTY@BSEINDIA.COM
Contact No. Of Auditor *: -	1111111111
Address Of Auditor: *:-	ABCD

<div align="center">PRINT</div>

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 :: 123456_TORII_UND_MAR20.PDF*

<div align="center">FINAL SUBMIT</div>

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 pop up to re-login to start the submission.

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 *: -	
Qualification *: -	
Auditor Registration No (DISA/CISA/CISSP/CISM) *: -	
PAN No. Of The Auditor *: -	
Email Id Of Auditor *: -	
Contact No. Of Auditor *: -	
Address Of Auditor: *:-	

Message from webpage ✕

⚠ AUDITOR REQUEST IS SUBMITTED, KINDLY RE - LOGIN FOR FILE UPLOAD.

[OK]

Upload File *: -	[ ] Browse... *File Nomenclature :: 123456_TORII_UND_MAR20.PDF*
	123456_TORII_UND_MAR20.PDF

AUDITOR REQUEST IS SUBMITTED

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.

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.)
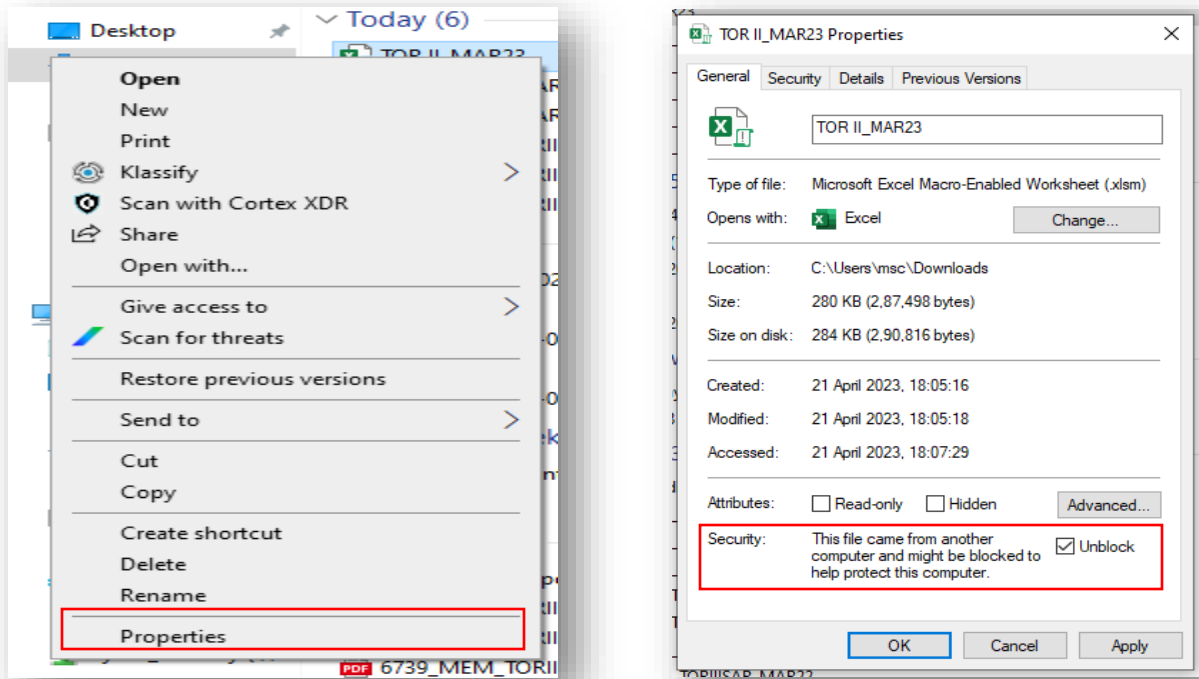
11. Once the SAR Excel Template is downloaded and opened, click on 'Enable Content' to enable to macros first.
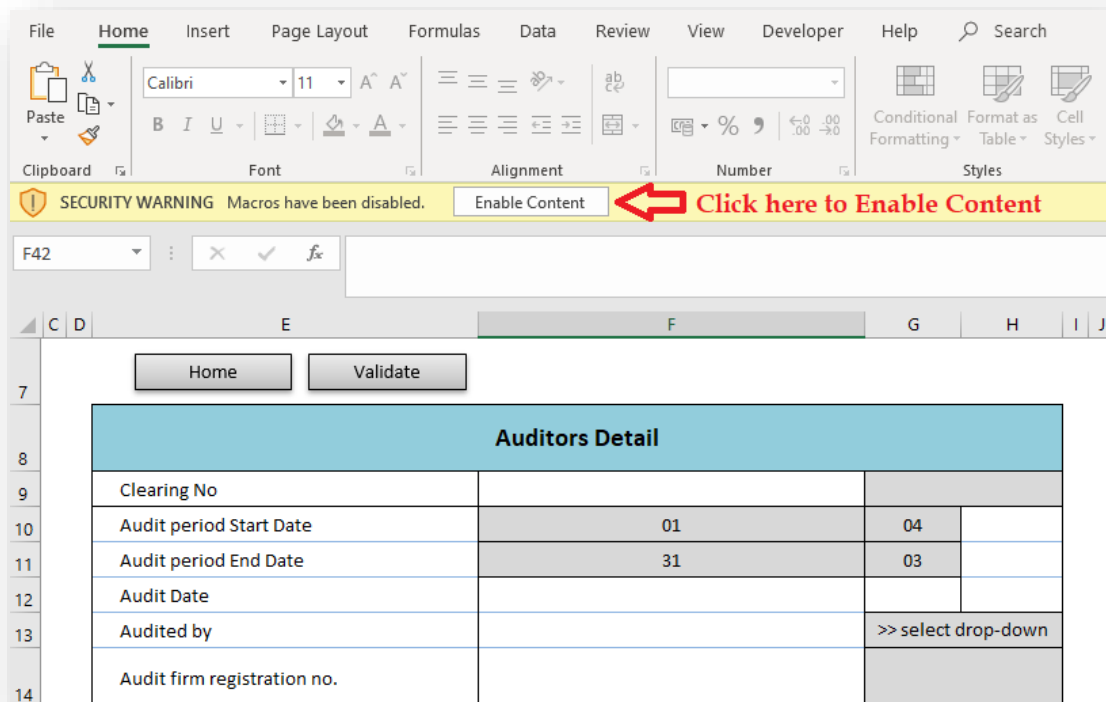
12. In the **'General Information'** sheet, first select **'Auditor'** from dropdown list for **"Are You Stock Broker / Auditor"** option. After filling all the details then validate the sheet, on clicking **'Validate'** button. After successfully validating the **'General Information'** sheet.

	E	F	G	H
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	II		
24	Are you Stock Broker / Auditor	Auditor	> select drop-down	
25	Filing for (SAR/CAR/FOR)	Auditor / Stock Broker	> select drop-down	
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.

|	F	G	H	I	J
10		Home Validate			
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.
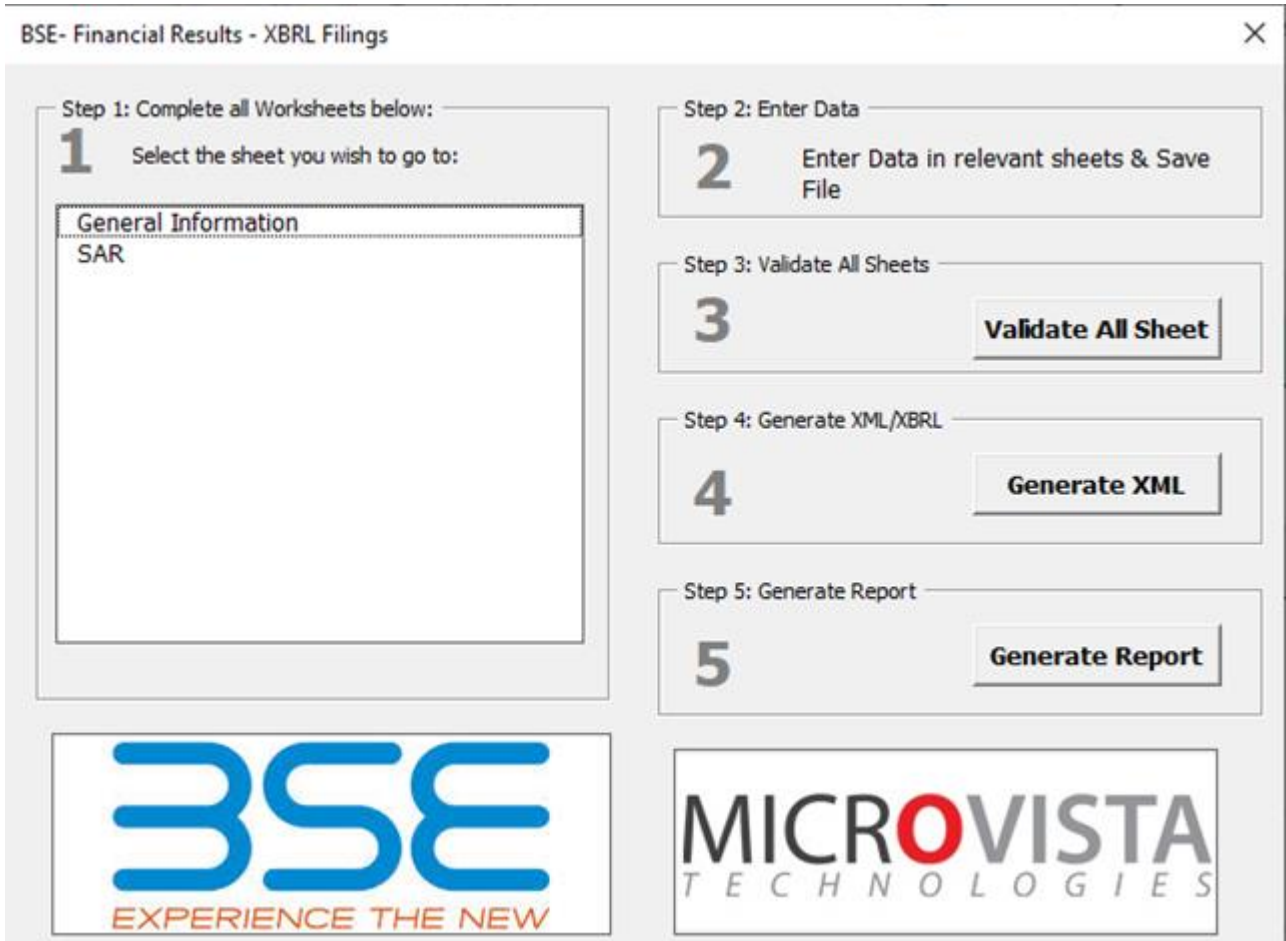
15. In BEFS, login> System Audit Reporting > Click on **TOR** button and Browse and attach 'SAR EXCEL Sheet' and click on 'Upload Data'.
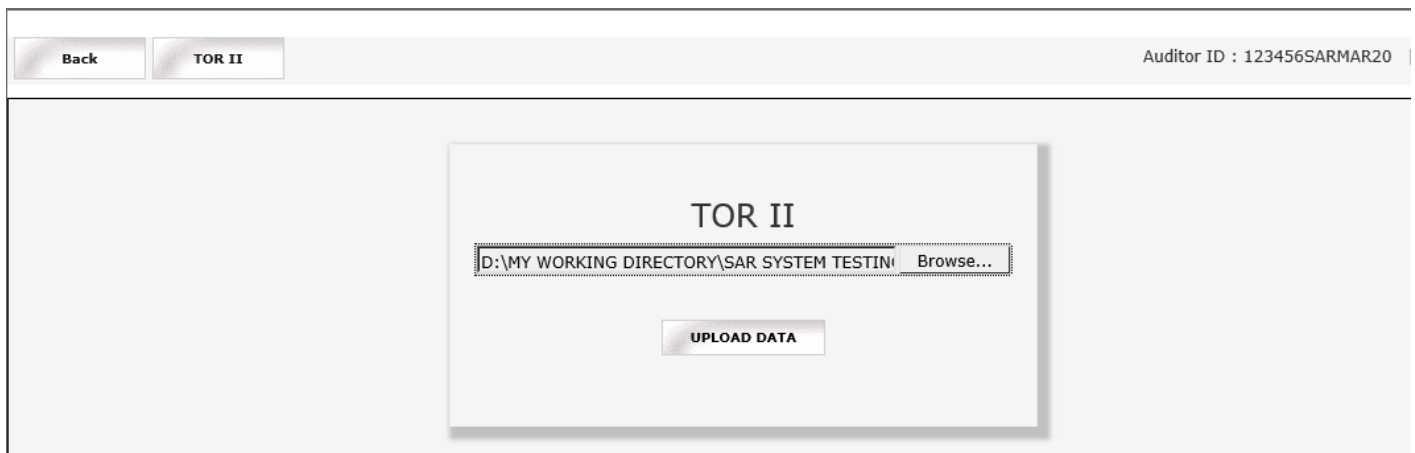
16. Once EXCEL Sheet gets uploaded it gets converted into a PDF file. Download the PDF and print on the letter head of Auditor.

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.

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.

File Submitted Successfully!!!!!!!

Your Transaction Number For This Submission Is **AUD123456SARMAR2017062020024143.**

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

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.
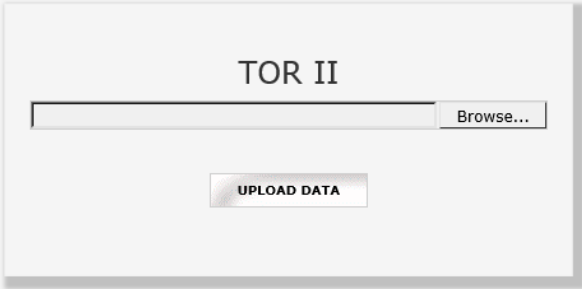
2. In Auditor Details > System Audit Reporting

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

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.**

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
TOR 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)										
II	1b	Order 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)**
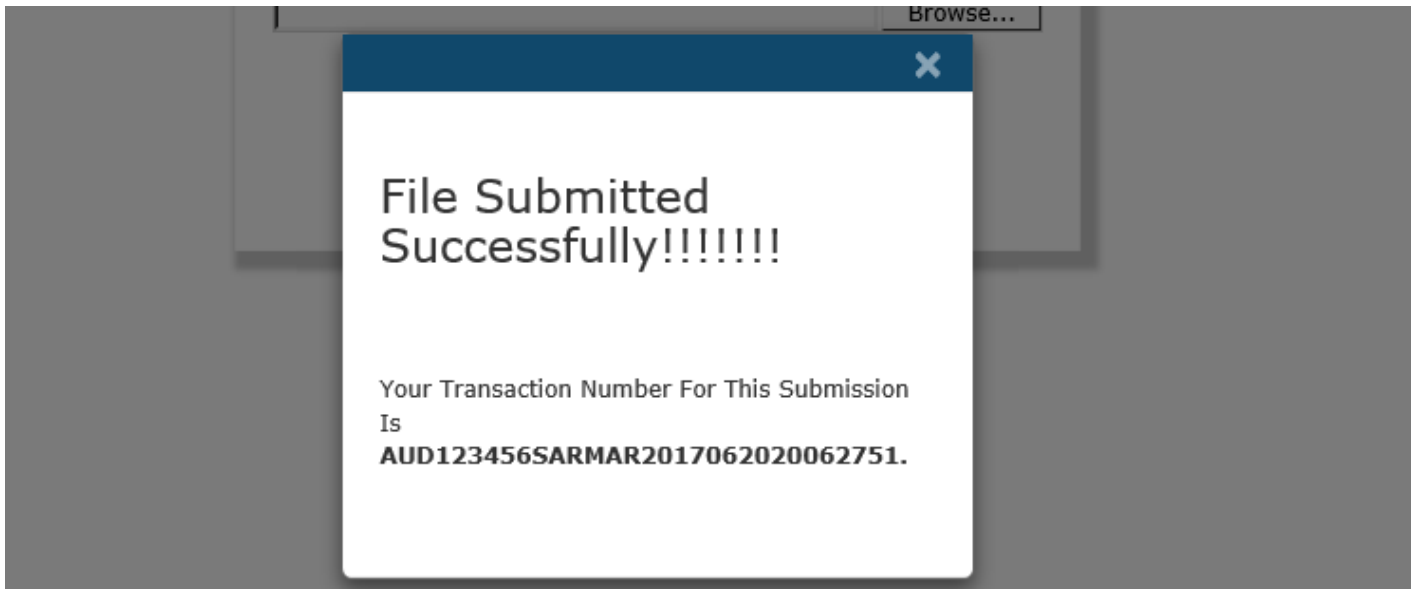

7. Once EXCEL Sheet gets uploaded it gets converted into PDF file. Download the PDF and print on the letter head of Auditor.

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**