2023



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 <com To Cc</com 	pliance@bseindia.in>
Dear Sir/Madam,	
Member (DUMMY_1234 APR2020-SEP2020	(Clg no.1234) has appointed you as auditor for HALF YEARLY submission of cyber security resilience audit report for the period
Clg. No. of member:	1234
Trading member name:	DUMMY_1234
Login id:	1234CSHSEP20
Password:	704646
Click on following link :ht	p://befs.bseindia.com for the approval of login id. for the first time, you are required to change the password
	······································

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

	BEFS
BSE Dever of Vibrance	Member Code : 1231 : Login Id :
Install Pre requisites For Optimized Result , Please Click Here Forgot Your Password	Password B06292 Enter Captoha B08292 Menu View : User Preferred ❤ Local
BSE Electronic Filing S	Please login to f Bookmark Application! ystem

- 3. login.
- 4. 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 C	
Enter Captcha	
CHANGE CANCEL EXIT	

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

EXPERIENCE THE NEW	
Hide Menu	
Cyber Security & Cyber Resilience Audit	Auditor Confirmation (Cyber Security)
Change Password	
Log Off	

- 6. 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 V
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

- 7. 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 V
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
Note : "Auditor Has To Take The Print On Th Upload File *: -	PRINT The Letterhead Of Audit Firm And Upload The Scanned Copy Of The Same (As Required Below) Duly Stamped And Signed By The Auditor." Browse File Nomenclature :: 1234_HALFYEARLY_UND_SEP2020.PDF FINAL SUBMIT
	YOU CANNOT EDIT THE INFORMATION AS YOUR REQUEST IS SUBMITTED TO PRINT

8. 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.

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 (DI PA Em	POR123
Co AUDITOR REQUEST IS SUBMITTED, SUBMISSION OF CYBER SECURITY & REPORT.	KINDLY RE - LOGIN FOR & CYBER RESILIENCE AUDIT
Ad	ОК
Upload File *: -	Browse File Nomenclature :: 1234_HALFYEARLY_UND_SEP2020.PDF 1234_HALFYEARLY_UND_SEP2020.PDF
	AUDITOR REQUEST IS SUBMITTED

9. 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 relogin.

	BEFS
Install Pre requisites For Optimized Result , Please Click Here Forgot Your Password	Member Code
	Please login to 8 Bookmark Application!
BSE Electronic Filing Sy	stem

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

Hide Menu Cyber Security & Cyber Resilience Audit > Change Password Log Off Submission of Audit Report (Cyber Security)	EXPERIENCE THE NEW		
Cyber Security & Cyber Resilience Audit > Auditor Confirmation (Cyber Security) Change Password Submission of Audit Report (Cyber Security)	Hide Menu		
Change Password Submission of Audit Report (Cyber Security)	Cyber Security & Cyber Resilience Audit	Auditor Confirmation (Cyber Security)	
	Change Password	Submission of Audit Report (Cyber Security)	

11. Download the CSAR Excel Template and fill in the required details.

Back CSAR				
		Download Excel Temp download csar template	plate	
	Downloa	ad Member Upl	oaded Files	
	1234 CSAR 08-01-2021 02	2:58:34 1234_CSAR_Apr2020-Sep2020_080120	21041344.XIsm <u>Download</u> <u>Download</u>	

12. After downloading the CSAR Excel Template go to download and right click on the CSAR Excel Template then go into properties, there you will see "unblock" option in the General section below

attributes, click on the unblock box \rightarrow Apply close the dialogue box and open the CSAR Excel Template (These steps will enable the Editing in the CSAR Excel Template.)

Desktop 💉 V Today (6) —	
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Open	.F
New	٨F
Print	ш
S Klassify >	- UI
Scan with Cortex XDR	- UI
🖻 Share	11
Open with	52
Give access to	
Scan for threats	•0
Restore previous versions	
Send to >	ľ
Cut	
Сору	
Create shortcut	11
Delete	
Rename	. 6
Properties	- 11
6739_MEM_TC	DRII

eneral Secu	rity Details Previous Versions	
X	TOR II_MAR23	
Type of file:	Microsoft Excel Macro-Enabled Worksheet (x	sm)
Opens with:	Excel Change	
ocation:	C:\Users\msc\Downloads	
Size:	280 KB (2,87,498 bytes)	
Size on disk:	284 KB (2,90,816 bytes)	
Created:	21 April 2023, 18:05:16	
Aodified:	21 April 2023, 18:05:18	
Accessed:	21 April 2023, 18:07:29	
Attributes:	Read-only Hidden Advance	ed
Security:	This file came from another computer and might be blocked to help protect this computer.	ck
	OK Cancel A	oply

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

File	Home Insert Page Layout Formul	as Data Review	View Help	✓ Search
Paste S	$\begin{bmatrix} Calibri & 11 & A^{\wedge} & A^{\vee} \\ B & I & U & \vee & \Box & \vee & \Delta^{\vee} \\ \end{bmatrix} \begin{bmatrix} Galibri & Galib$	= = - ≫ - 20 = = = = = = ⊡ - Alignment	◎ ~ % 9 50 - % Number 5	Conditional Formatting ~ Format as Table ~ Cell Styles ~ Styles
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	E		F	G H
6	Home Validate]		
7		Auditors Detail	l .	
8	Are you Stock Broker / Auditor			>> select drop-down
9	Clearing No			
10	Member Name			
11	Audit period Start Date		01	
12	Audit period End Date			
13	Audit Date			
14	Audited by (DISA/CISA/CISM/CISSP/CERT-IN)			>> select drop-down
15	Audit firm registration no.			
16	Audit firm name			
17	Auditor name			
	Auditor Registration no.			

14. 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
Clearing No	Auditor Stock Broker	
Member Name		
Audit period Start Date	01	
Audit period End Date		
Audit Date		
Audited by (DISA/CISA/CISM/CISSP/CERT-IN)		>> select drop-down

15. 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 lobservation	Department
1	Governance					
la	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 process and					

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

BSE- Financial Results - XBRL Filings	×
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
BSS EXPERIENCE THE NEW	T E C H N O L O G I E S

17. 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'.

Back CSAR	
	CSAR D:\E DRIVE\INSPECTION\CYBER SECURITY\ Browse UPLOAD DATA
	CSAR History

18. 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.

					C	SAR	Browse				
				File S Succ PDF Repo From Her DOWNL	Subm essfu rt Is Gen e 	nitted ully!!!!!!! eratedPlease D Histor	ownload				
Component	r: 1-				BEEC	DEEC Daiasking	7	Freed	p.4(Wan	
ID	гие Туре	Uploaded Date	File Name		Status	Reason	Date	Download	Por Download	(CSAR/CAR/FOR)	Submit
1234	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2020- SEP2020_08012021025834.	Xlsm				<u>Download</u>	<u>Download</u>	<u>View</u>	<u>Submit</u>

19. 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.

					C	CSAR	Browse				
					UPL	OAD DATA					
		Message from wel	bpage X	•	<	After text b	clicking on 'Subm oox is displayed. Cl to upload the CSA	it' this ick on R PDF	Click a tex	on "Submit" be t box will be dis	low and played
			OK Cancel	С	SAR	Histor	у				$\hat{\nabla}$
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	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2020- SEP2020_08012021025834.Xlsm					Download	Download	View	Submit

20. The below screen is displayed to browse and upload the signed CSAR PDF. Click on "Upload Data".

					C	SAR	Browse				
					UPL	OAD DATA	-				
				C	SAR	In Pdf	x				
				*Kindly D Letter He Stamp Of	ownload ad Of Auditor A UPL	Pdf And Print Auditor With Si And Upload The S	wse On The ign And Same	4			
Company ID	File Type	Uploaded Date	File Name		Status	Reason	ccepted Date	Excel Download	Pdf Download	View (CSAR/CAR/FOR)	Submit
1234	CSAR	08-01-2021 02:58:34	1234_CSAR_APR2020- SEP2020_08012021025834.>	Klsm				<u>Download</u>	<u>Download</u>	View	<u>Submit</u>

21. 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)

EXPERIENCE THE NEW	
Hide Menu	
Cyber Security & Cyber Resilience Audit	Auditor Confirmation (Cyber Security)
Change Password	Submission of Audit Report (Cyber Security)
Log Off	

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

Back	CSAR		CAR				
			D			d Eile	
			Do	wnload	d Auditor Uploade	d File	9
			Do	wnload	d Auditor Uploade	d File	9
	Co	mpany ID	Do [°]	WNIOAC	d Auditor Uploade	d File	Pdf Download
	Co	mpany ID 1234	Do File Type CSAR	WNIOAC	Hauditor Uploade	ed File	Pdf Download <u>Download</u>

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.

		. <u> </u>
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
	CSAR	
	FOR	Yes
	IBT	No
Facilities with the stack broker	STWT	No
Facilities with the stock broker	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					
ılf yea	n 31	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
ılf yea	u 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
4	Gene	ral Information FOR +		: 4			Þ

 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 TESTINI 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 Succ PDF Rep From He DOWN	Subr cessf ort Is Ger re LOAD PDF	nitted ully!!!!! heratedPlease E History	l bownload				
Company	File		opioad St	REES	REES Rejection	Rejected/Accented	Excel	Pdf	View	
company	-	Uploaded Date	File Name		Deronejection	D-1-				Submit
ID	rype			Status	Reason	Date	Download	Download	(CSAR/CAR/FOR)	
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.



****END OF DOCUMENT****