



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/AUDIT/DP/POLICY/2024/91

February 13, 2024

SUBMISSION OF COMPLIANCE OF CLOSURE OF FINDINGS IDENTIFIED DURING VAPT

Depository Participants (DPs) are advised to refer to Communique CDSL/AUDIT/DP/POLICY/2023/696 dated November 30, 2023 regarding submission of VAPT report to CDSL in accordance with the SEBI Circular no. SEBI/HO/MIRSD/TPD/P/CIR/2022/80 dated June 07, 2022.

As per modified para 44 of the above-mentioned SEBI Circular no. SEBI/HO/MIRSD/TPD/P/CIR/2022/80 dated June 07, 2022: -

Any gaps/vulnerabilities detected shall be remedied on immediate basis and compliance of closure of findings identified during VAPT shall be submitted to the Stock Exchanges / Depositories within 3 months post the submission of final VAPT report.

With respect to the above provision, it may be noted that DPs are required to submit compliance of closure of findings identified during VAPT conducted by them for the financial year 2023-2024 on or before March 31, 2024. The Manual for submission of the compliance report is enclosed as **Annexure A**.

DPs are requested to take note of the above and ensure compliance.

Queries regarding this communiqué may be addressed to CDSL – Helpdesk through email on helpdesk@cdslindia.com or call us on 08069144800.

sd/-

Ajit Prabhu
Sr. Manager - Audit, Inspection & Compliance

Step 1- Log in Into Audit application by using the below link:-

<https://auditweb.cdslindia.com/Login.aspx>

- Now Sign in using 'Login Type-Designated officer'.
- Now enter User ID & Password and click on "Sign In" button.

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AUDIT APPLICATION

SIGN IN

Login Type Designated Officer

User ID --Select--
Auditor
DP
RTA
CDSL_Staff

Password Designated Officer
CISA_Auditor
Auction Committee
Bidding Participant
IS_Auditor

Sign In

[Forgot password](#) [Registration for DP / RTA](#)

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Step 2- Select "VAPT Compliance" as highlighted below.

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AUDIT APPLICATION

Reports

Select Audit Type --Select--

Select Audit Month

Select DP / RTA --Select--

Confirm

[View Cyber Report](#) [VAPT Compliance](#) [VAPT Resubmission](#)

[Cloud Framework Security](#)

[Go to Login](#)

FAQ

[FAQ for online submission of IAR](#) [Manual for Online Submission of HCC](#)

[User Manual](#)

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Step 3- Select the Year for which the report is to be submitted,

a. Select "November 2023" in "Audit Month"

Step 4- Appropriate Option should be selected as per the below criteria:


- a. **If there were no vulnerabilities in the initial VAPT report submitted – Select “No open vulnerabilities/gaps/findings in the VAPT Report submitted to CDSL”**
- b. **If there were open vulnerabilities in the initial VAPT report submitted and they have been closed – Select “All the vulnerabilities/gaps/findings in the VAPT are remedied/fixed and closed”.**
- c. **If there were open vulnerabilities in the initial VAPT report submitted and they have not been closed yet – Select “Vulnerabilities/gaps/findings yet to be closed”.**



Step 5-

- i. If Option “a” or “b” are selected in **Step 4**, then enter the below values in the “Severity No.” table.

Critical	High	Medium	Low
0	0	0	0

- ii. If Option “c” is selected in **Step 4**, then enter the **Number of open vulnerabilities for each of the category viz. Critical, High, Medium and Low.**


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Welcome [Redacted]

AUDIT APPLICATION

COMPLIANCE STATUS - VAPT COMPLIANCE REPORT

--Select--

No open vulnerabilities / gaps / findings in the VAPT Report submitted to CDSL.
 All the Vulnerabilities / gaps / findings in the VAPT are remedied / fixed and closed.
 Vulnerabilities / gaps / findings yet to be closed.

Severity No.

Critical	High	Medium	Low
0	0	0	0

Number of Open Vulnerabilities Reported to CDSL in Initial VAPT Report

Critical	High	Medium	Low
0	0	0	0


Upload VAPT Compliance Report



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Step 6-

Once the count of vulnerabilities has been entered, Enter the Number of vulnerabilities which were discovered in the initial VAPT Report submitted to CDSL in **“Number of Open Vulnerabilities Reported to CDSL in initial VAPT Report”**

- i. If **no vulnerabilities** were discovered – Then Enter “0” for each of the Severity viz. Critical, High, Medium and Low.
- ii. If **vulnerabilities** were discovered during the initial VAPT exercise – Then Enter the number of vulnerabilities for each of the vulnerabilities viz. Critical, High, Medium and Low


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Welcome [Redacted]

AUDIT APPLICATION

COMPLIANCE STATUS - VAPT COMPLIANCE REPORT

--Select--

No open vulnerabilities / gaps / findings in the VAPT Report submitted to CDSL.
 All the Vulnerabilities / gaps / findings in the VAPT are remedied / fixed and closed.
 Vulnerabilities / gaps / findings yet to be closed.

Severity No.

Critical	High	Medium	Low
0	0	0	0

Number of Open Vulnerabilities Reported to CDSL in Initial VAPT Report

Critical	High	Medium	Low
0	0	0	0

Upload VAPT Compliance Report

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Step 7-

Once the count of vulnerabilities has been entered,

- i. If Option “b” is selected in **Step 4**, then upload the **Compliance Report** according to the steps mentioned in **Step 7**.
- ii. If Option “c” is selected in **Step 4**, then upload the **VAPT Report which mentions the number of open vulnerabilities along with the due date for closure of vulnerabilities** according to the steps mentioned in **Step 8**.

Step 8-

To upload the report as per **Step 7**, follow the below steps:

- a. Select “**Choose files**” to select the file for uploading on AuditWeb.

The screenshot displays the 'AUDIT APPLICATION' interface for 'COMPLIANCE STATUS - VAPT COMPLIANCE REPORT'. The header includes the company logo and name, 'Central Depository Services (India) Limited', with the tagline 'Convenient * Dependable * Secure'. A user profile icon and 'Welcome' message are visible in the top right.

The main form area contains the following fields and options:

- Audit Month:** A dropdown menu currently showing '--Select--'.
- DP ID:** A text input field with a redacted value.
- Schedule No:** A text input field.
- Compliance Status:** Three checkboxes:
 - No open vulnerabilities / gaps / findings in the VAPT Report submitted to CDSL.
 - All the Vulnerabilities / gaps / findings in the VAPT are remedied / fixed and closed.
 - Vulnerabilities / gaps / findings yet to be closed.
- Severity No.:** A table with four columns: Critical, High, Medium, Low. Each column has a corresponding input field.
- Number of Open Vulnerabilities Reported to CDSL in Initial VAPT Report:** A table with four columns: Critical, High, Medium, Low. Each column has a corresponding input field.
- Upload VAPT Compliance Report:** A section with a yellow 'Choose File' button, a blue 'Submit' button, and a green 'Upload' button.
- Footer:** 'Submit to CDSL' and 'Back' buttons.

The footer of the page contains the text: 'Copyright © 2019 - Audit Team, Central Depository Services (India) Ltd. All rights reserved.'

b. Choose the files to be uploaded and click on **“Upload”**.

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AUDIT APPLICATION

COMPLIANCE STATUS - VAPT COMPLIANCE REPORT

Audit Month: --Select--
DP ID: [REDACTED]
Schedule No: [REDACTED]

No open vulnerabilities / gaps / findings in the VAPT Report submitted to CDSL.
 All the Vulnerabilities / gaps / findings in the VAPT are remedied / fixed and closed.
 Vulnerabilities / gaps / findings yet to be closed.

Severity No. Critical High Medium Low
[] [] [] []

Number of Open Vulnerabilities Reported to CDSL in Initial VAPT Report
Critical High Medium Low
[] [] [] []

Upload VAPT Compliance Report
Choose File No file chosen [Upload]

Submit to CDSL Back

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c. Once the files are uploaded, click on **“Submit to CDSL”** to submit the documents.

(This step has to be mandatorily completed by the DP as it will ensure that the documents are submitted to CDSL)

Important Note- Once the files are “Submitted to CDSL”, the system will not allow the user to re-submit the documents, hence it is advised to carefully select the files and **upload the correct file**.

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AUDIT APPLICATION

COMPLIANCE STATUS - VAPT COMPLIANCE REPORT

Audit Month: --Select--
DP ID: [REDACTED]
Schedule No: [REDACTED]

No open vulnerabilities / gaps / findings in the VAPT Report submitted to CDSL.
 All the Vulnerabilities / gaps / findings in the VAPT are remedied / fixed and closed.
 Vulnerabilities / gaps / findings yet to be closed.

Severity No. Critical High Medium Low
[] [] [] []

Number of Open Vulnerabilities Reported to CDSL in Initial VAPT Report
Critical High Medium Low
[] [] [] []

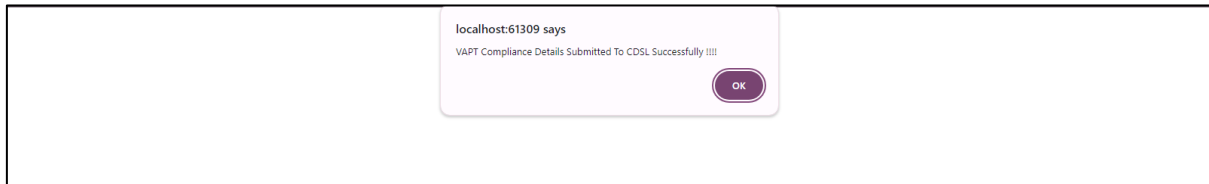
Upload VAPT Compliance Report
Choose File No file chosen [Upload]

Submit to CDSL Back

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Step 8-

Once the pop-up displays “**VAPT Compliance Details Submitted to CDSL Successfully**”, it means that the report has been successfully uploaded.



*If any **error** is faced while uploading the report, request you to send an email to the below email addresses **along with the screenshot of the error**.

The subject of the email should be “**Error in submitting the VAPT Compliance Report on AuditWeb - DP ID XXXXX**” **(DPs should use their respective DP IDs instead of XXXXX)**

1. dpinfosec@cdslindia.com
2. helpdesk@cdslindia.com