CDSL/IS/DP/POLCY/2025/623 **September 15, 2025**

SUBMISSION OF COMPLIANCE FOR CLOSURE OF OBSERVATIONS RAISED DURING ANNUAL SYSTEM AUDIT

Depository Participants (DPs) are advised to refer to Communique **CDSL/RISK/DP/POLCY/2024/536 September 16, 2024 and CDSL/IS/DP/POLCY/2025/380 June 09, 2025**, on 'Submission of Annual System Audit Report'.

Any observation raised by the auditor during the audit shall be remedied on an immediate basis and should be certified by the auditor. The compliance of closure of findings identified shall be submitted to CDSL **within 3 months** from the due date of submission of report.

DPs are advised to submit compliance of closure of observations raised during the audit for the audit period April 2024- March 2025 **on or before September 30, 2025**. The User Manual for submission of the same 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 –emails may be sent to: dpinfosec@cdslindia.com and connect through our IVR Number 022-62343333.

For and on behalf of
Central Depository Services (India) Limited

sd/-

Mrugen Vijay Munjpara
Assistant Vice President – Information Security

Annexure A

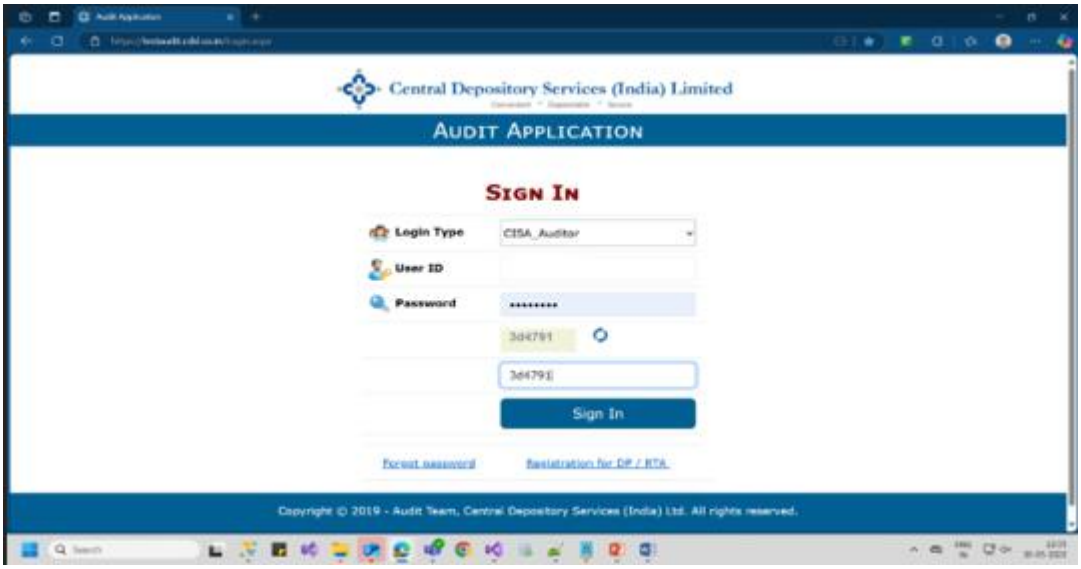
Guidelines to submit System Audit ATR (Action Taken Report)

CISA AUDITOR SCREEN

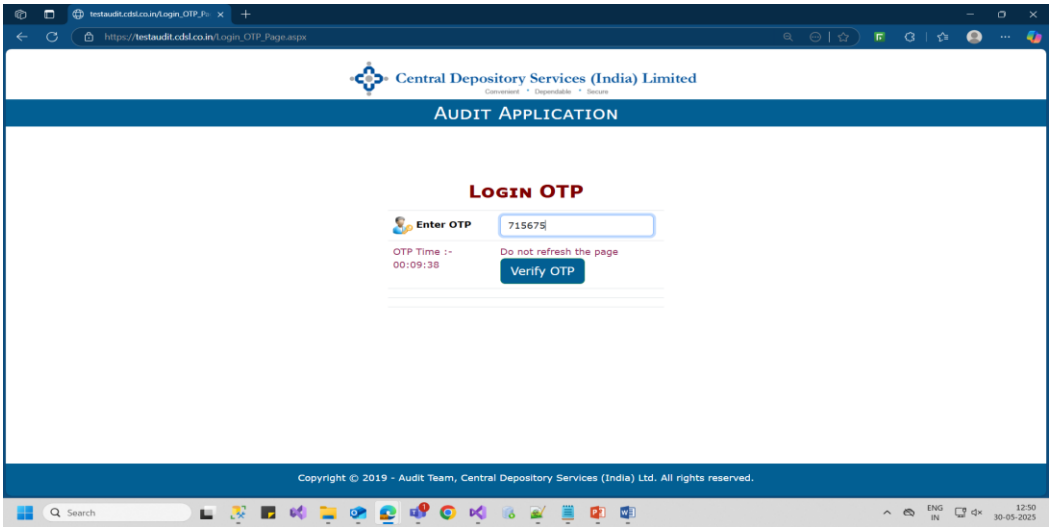
1. Log in Into Audit application by using the below link:-
   https://auditweb.cdslindia.com/Login.aspx

   Now Sign in using 'Login Type-CISA Auditor

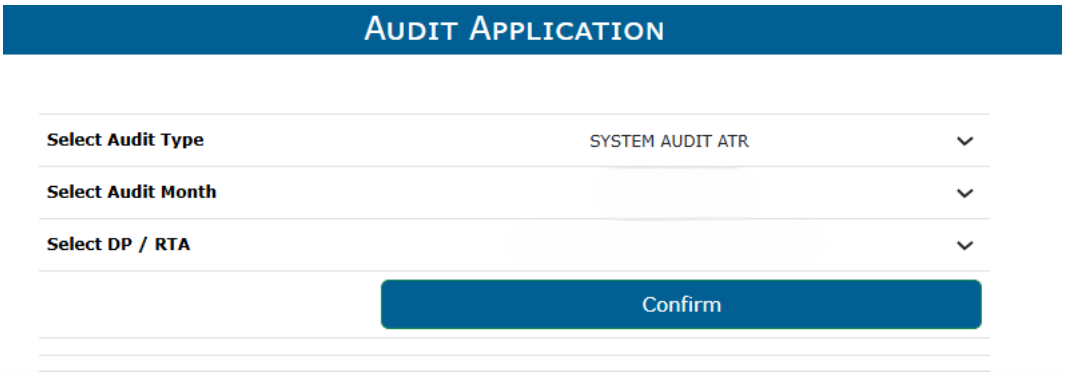
   Now enter User ID & Password and click on "Sign In" button.



2. **Enter the OTP:** You will receive the OTP on both your CISA registered mobile number and email Id.

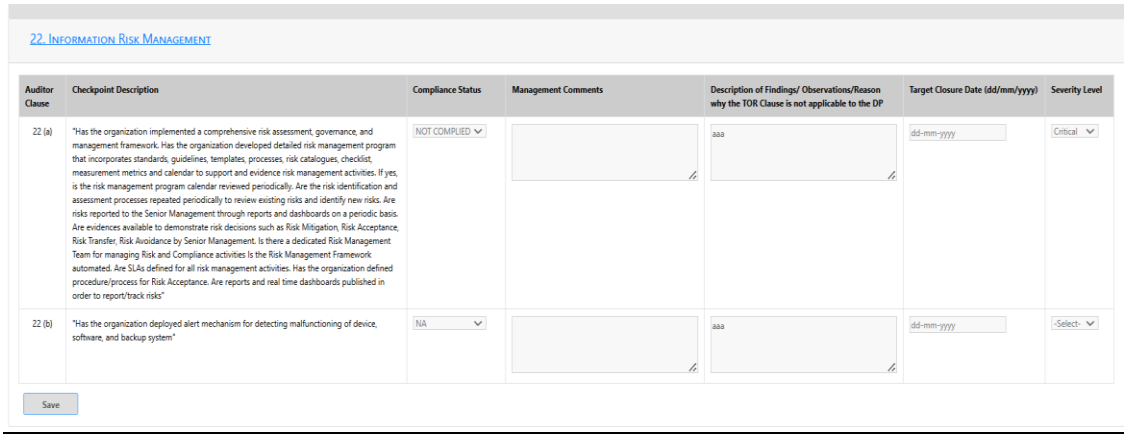


3. Then select audit type “System Audit ATR” from the Drop down.
   Select Audit month, the DP ID and DP Name in the ‘**Select DP / RTA**’ tab and click on **‘Confirm’**.



4. The below screen will be displayed once the user is logged in. **All the details below will be auto populated.**

5. **Please note that only the points marked as non-compliant will be displayed.**
   The **‘CISA Auditor’ is given access to fill only the below mentioned fields:**
   - Compliance Status.
   - Description of Findings/Reason why the TOR clause is not applicable to DP.
   - Severity Level.



22. Information Risk Management

Auditor Clause	Checkpoint Description	Compliance Status	Management Comments	Description of Findings/ Observations/Reason why the TOR Clause is not applicable to the DP	Target Closure Date (dd/mm/yyyy)	Severity Level
22 (a)	"Has the organization implemented a comprehensive risk assessment, governance, and management framework. Has the organization developed detailed risk management program that incorporates standards, guidelines, templates, processes, risk catalogues, checklist, measurement metrics and calendar to support and evidence risk management activities. If yes, is the risk management program calendar reviewed periodically. Are the risk identification and assessment processes repeated periodically to review existing risks and identify new risks. Are risks reported to the Senior Management through reports and dashboards on a periodic basis. Are evidences available to demonstrate risk decisions such as Risk Mitigation, Risk Acceptance, Risk Transfer, Risk Avoidance by Senior Management. Is there a dedicated Risk Management Team for managing Risk and Compliance activities Is the Risk Management Framework automated. Are SLAs defined for all risk management activities. Has the organization defined procedure/process for Risk Acceptance. Are reports and real time dashboards published in order to report/track risks"	NOT COMPLIED		aaa	dd-mm-yyyy	Critical
22 (b)	"Has the organization deployed alert mechanism for detecting malfunctioning of device, software, and backup system"	NA		aaa	dd-mm-yyyy	-Select-

Save

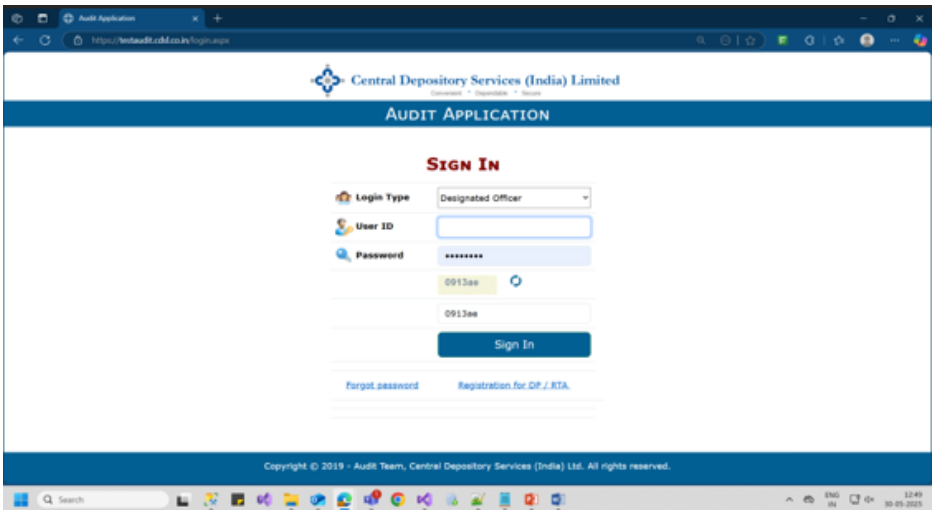
Once all details have been entered, kindly click on the 'SAVE' button in every segment

5. Once all segments have been saved, proceed by clicking on the **'SAVE & Submit to DP'** button. The report status will reflect as ***Report submitted to DP***.

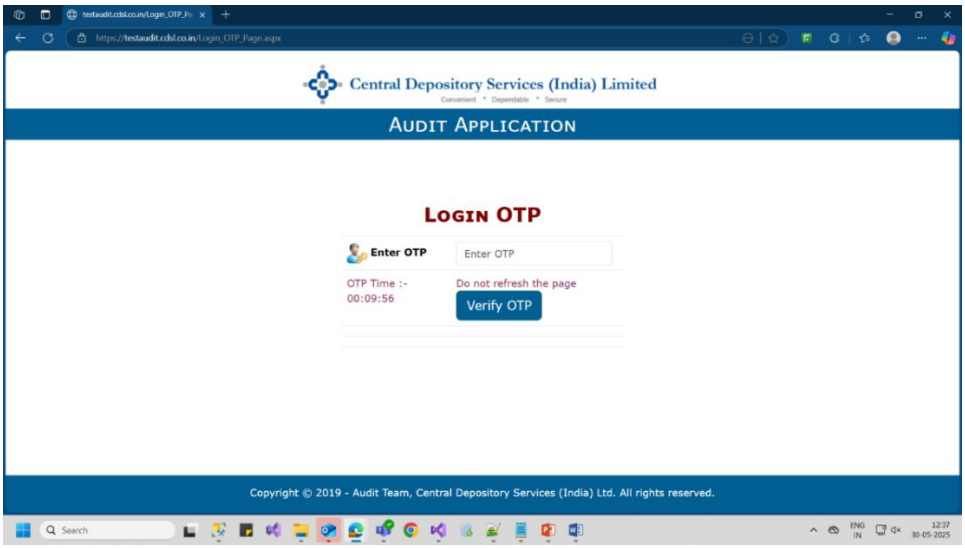
DESIGNATED OFFICER LOGIN

1. Log in Into Audit application by using the below link:-
   https://auditweb.cdslindia.com/Login.aspx

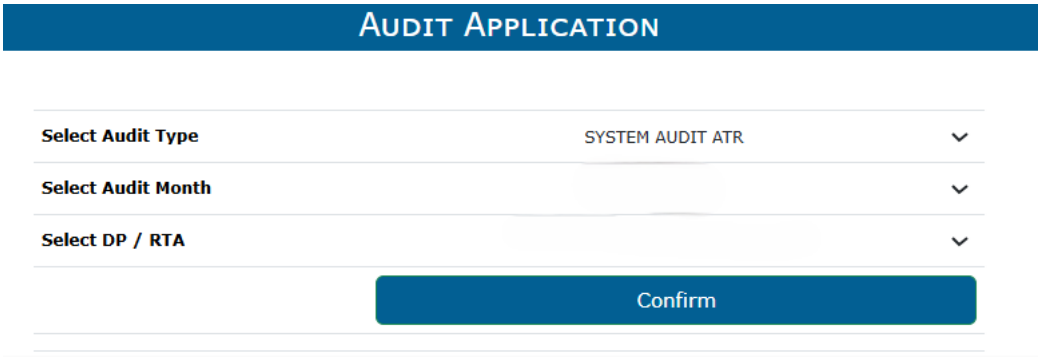
   Now Sign in using 'Login Type-Designated officer'.
   Now enter User ID & Password and click on "Sign In" button.



2. **Enter the OTP:** You will receive the OTP on both your DP's registered mobile number and email Id.

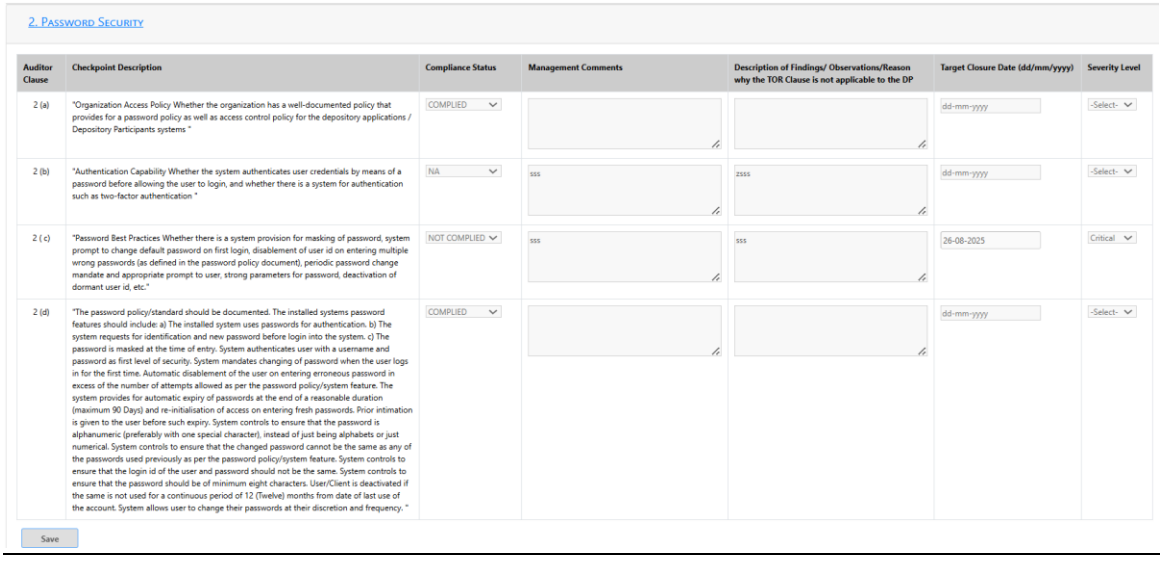


3. Then select audit type “System Audit ATR” from the Drop down.
   Select the DP ID and DP Name in the ‘**Select DP / RTA**’ tab and click on **‘Confirm’.**



4. The below screen will be displayed once the user is logged in. **All the details below will be auto populated.**

5. The **‘Designated Officer’ is given access to fill only the below mentioned fields:**
   - Management Comments
   - Target Closure Date (dd/mm/yyyy), in case of any open finding



6. Save all segments, then click *SAVE* and generate the PDF to review the details before uploading.

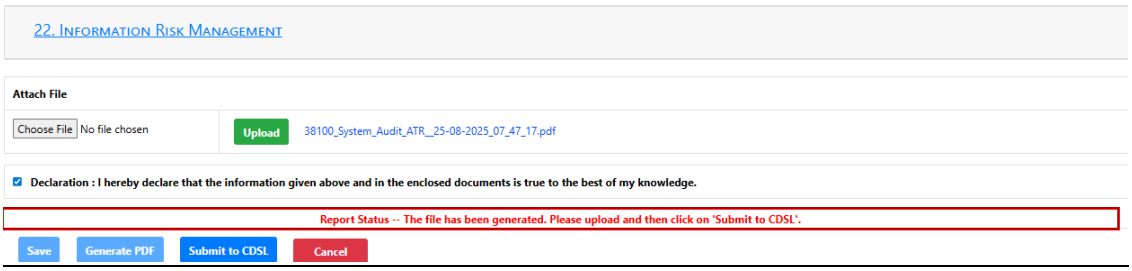
DP_ID	DP_name	Report type	Period
		System Audit ATR	

Auditor Clause	Checkpoint Description	Compliance Status	Management Comments	Description of Findings/ Observations/ Reason why the TOR Clause is not applicable to the DP	Target Closure Date	Severity Finding
2 (a)	"Organizati on Access	complied				

Please make sure the file name remains unchanged after downloading, printing, and signing i.e., **dp_id_System_Audit_ATR_date**.

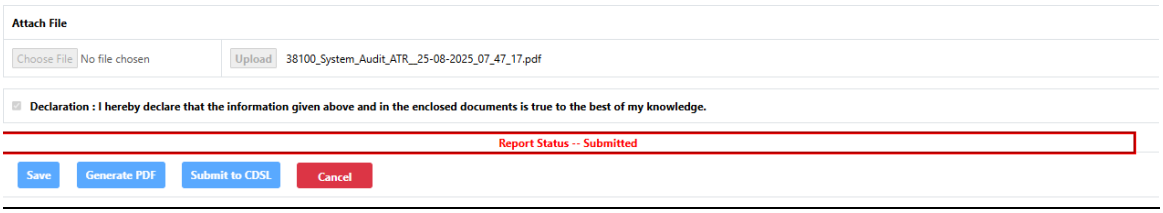
- For example: **30000_ System_Audit_ATR_20250903 (yyyymmdd)**

7. Report status will show *File Generated*. Please upload the file and then click on ***Submit to CDSL***



Before submission, please click on declaration check box

8. After submission to CDSL, the report status will reflect as ***Submitted***



DPs are advised to take note of the following:

- CISA Auditor registration/mapping is carried out through the DP login, and the same auditor can then proceed with the submission.
- Each submission is permitted for a single auditor only.
- If you want to change your auditor, ensure the previous auditor is deleted before adding or mapping a new one through DP login.
- If the compliance status for any clause in the checkpoint description is marked as "**Complied"** the fields for Description of Findings, Target Date, and Severity will be disabled.
- If the compliance status for any clause in the checkpoint description is marked as **"Not Complied"** then Management Comments, Description of Findings, Target Date, and Severity fields are mandatory.
- If the compliance status for any clause is marked as **"Not Applicable"** the Management Comments and Description of Findings fields are mandatory.
- The audit report must be on the letterhead containing the name of the auditor, audit firm, Audit firm expiry date and valid signature.
- The audit report must include the DP Name and DP ID.
- Audit period must be clearly mentioned.
- Compliance status must be clearly stated as Complied / Not Complied / Not Applicable.
- Kindly ensure each subpoints of the Checkpoint Description are duly filled in and **SAVED** before submitting it to CDSL. If the details are not saved prior to submission, the data may not be recorded in the system which may result in incomplete or missing information at the time of submission.

If any error is faced while submitting the report, request you to send an email on **dpinfosec@cdslindia.com** along with the screenshot of the error**.**

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