Circular No.: NSDL/POLICY/2024/0072 May 31, 2024

Subject: Facility for submission of Incident Report and Root Cause Analysis in electronic form through e-PASS.

All Participants are hereby informed that NSDL has developed a facility for online submission of '**Incident report and Root Cause Analysis (RCA)'** through NSDL **e-PASS portal**. Accordingly, Participants shall be required to submit Incident report and Root cause analysis online through e-PASS platform.

The procedure for submission of '**Incident Report'** and '**Root Cause Analysis (RCA) Report** through e-PASS portal is enclosed in **Annexure A** and **Annexure B** respectively**.**

Please note the timelines for submission of the Incident details in the e-PASS portal:

Sr. No.	Particulars	Reporting Timelines
1.	Incident reporting with details on Cyber Incident	Within 6 hours of noticing / detecting such incidents
2.	Root cause analysis (RCA)	Within 14 days of reporting the incident

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

For further information on the circular, Depository Participants are requested to contact at Tel: (022) 42165317. For technical queries or assistance for submission in the portal, Participants are requested to contact Tel: (022) 4886 7000 / helpdesk@nsdl.com

For and on behalf of
National Securities Depository Limited

AROCKIARAJ Date: 2024.05.31 12:09:33 +05'30'

Arockiaraj
Manager

Enclosures: Two

FORTHCOMING COMPLIANCE			
Particulars	**Deadline**	**Manner of sending**	**Reference**
Investor Grievance Report (**Monthly**)	By 10th of the following month	Through e-PASS	1. Para 20 of NSDL Master Circular for Participants on 'Grievance Redressal' chapter. 2. Circular No.: NSDL/POLICY/2023/0161 dated November 13, 2023
Artificial Intelligence /Machine Learning Reporting Form (**Annually**)	Within three months of the end of the financial year	Through e-PASS	Circular No.: NSDL/POLICY/2024/0003 dated January 05, 2024

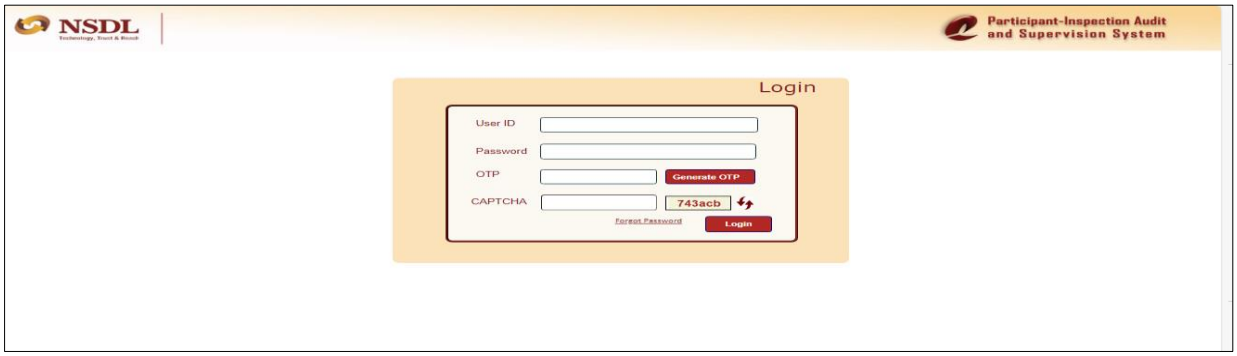
Annexure A

Guidelines to submit the Incident Reporting form.

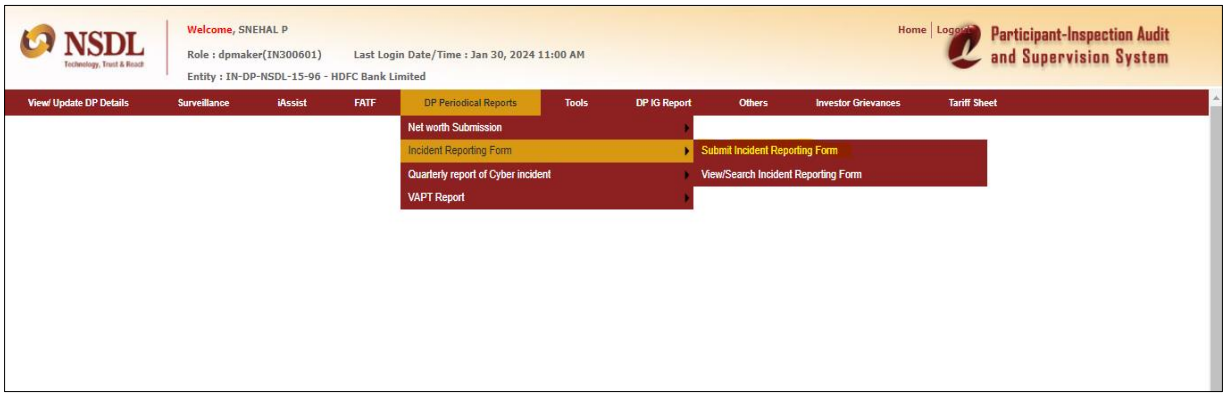
1. **Fill the report by maker ID**

i. Click on e-PASS URL: https://www.epass.nsdl.com to submit the report.

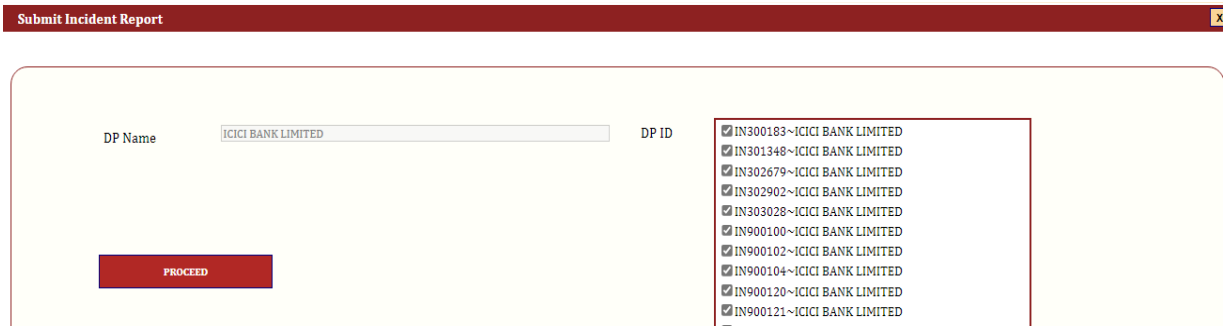
ii. Login in e-PASS by using DP Maker.



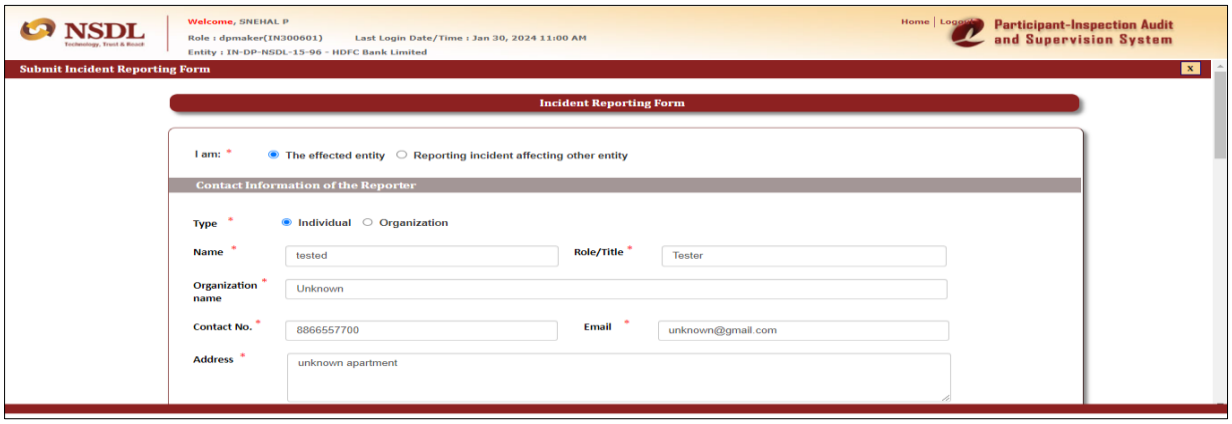
iii. Go to DP Periodical Reports ➔ Incident reporting form ➔Submit Incident reporting form.

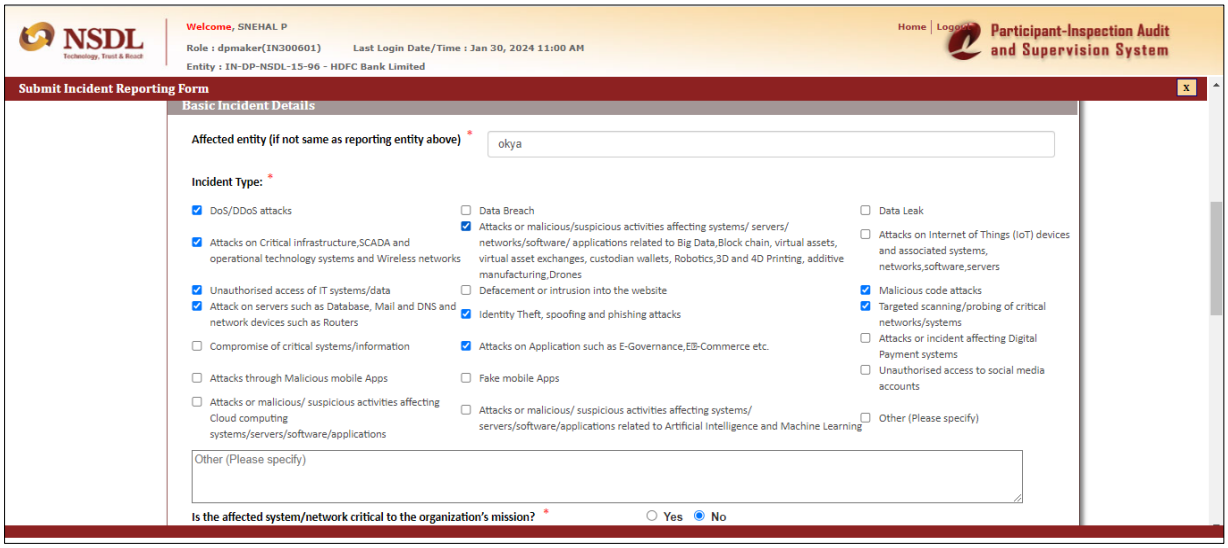


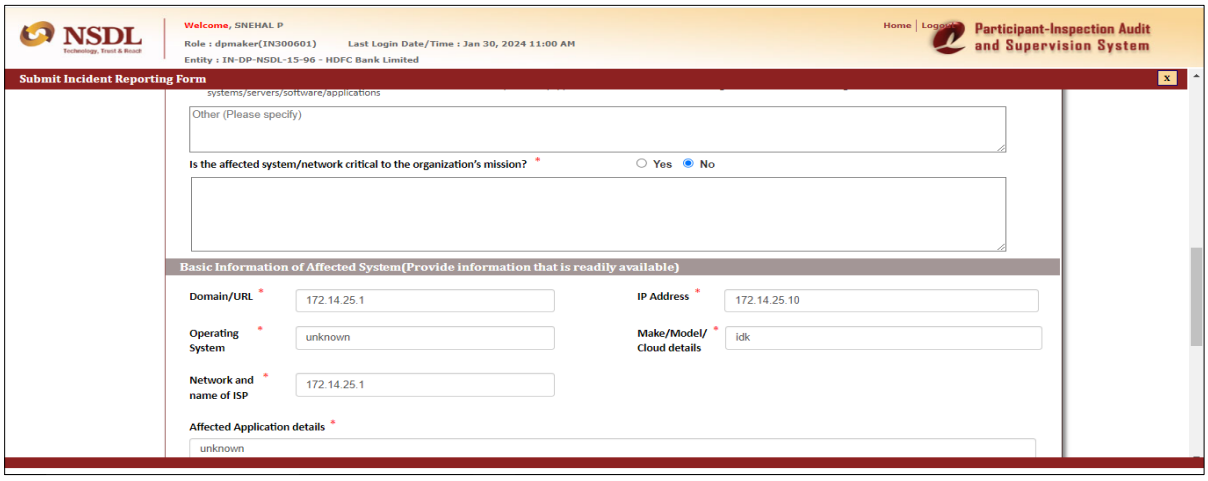
iv. Select the DP name, DP IDs ➔ Click on Proceed.

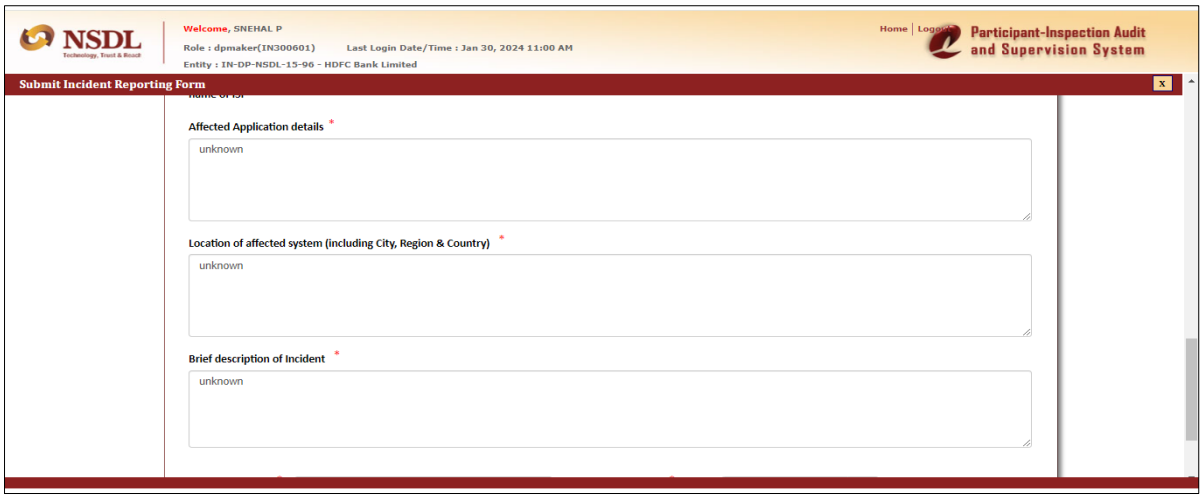


v. Fill in all details of the Cyber Incidents.



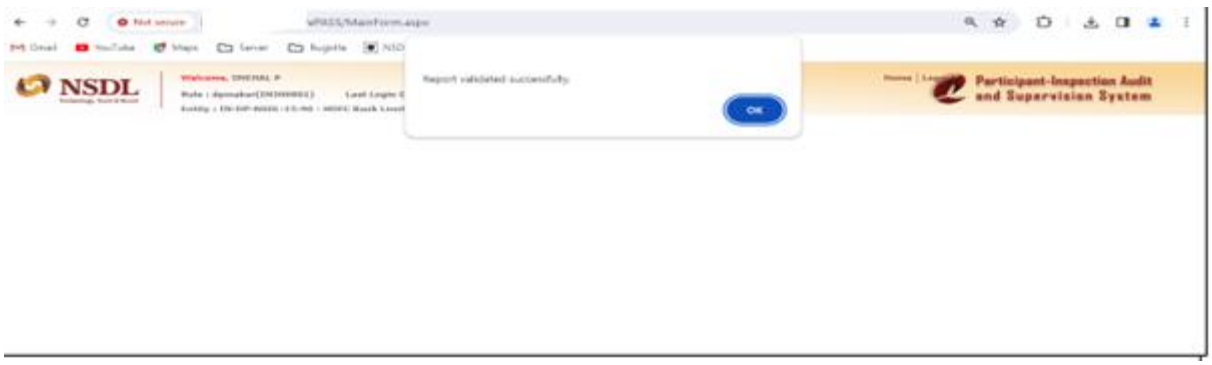






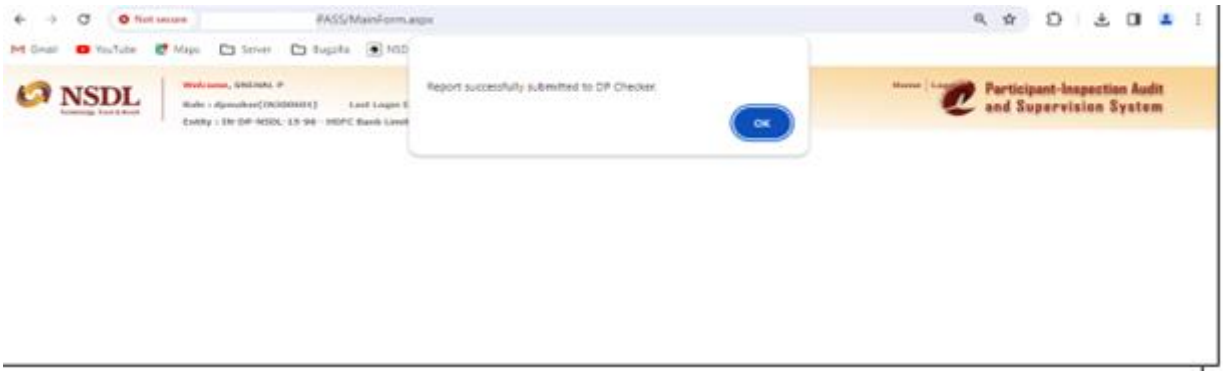
vi. Click on ‘Save’ button to save the report.

vii. Click on ‘Validate’ button to validate report.



Submit report to DP Checker

viii. Click on 'Send to Checker' button to Submit report to DP Checker.

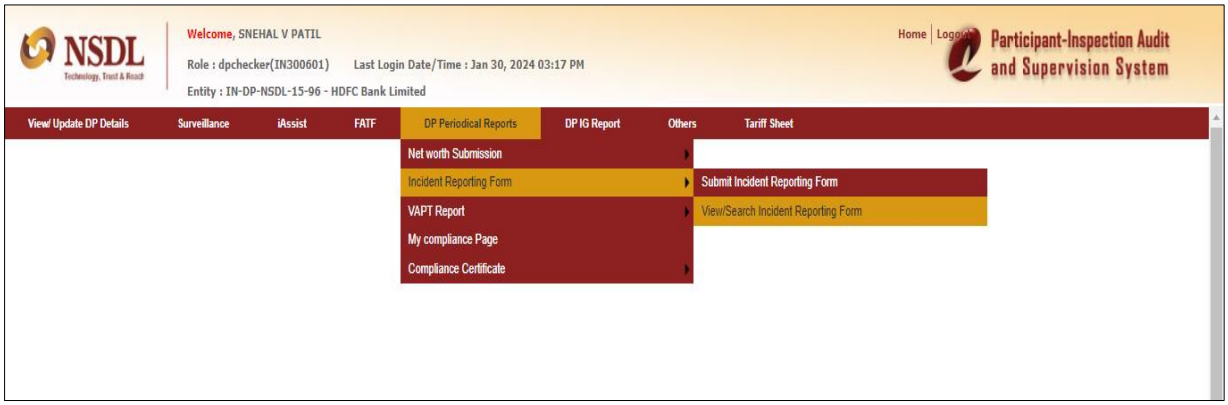


2. Returned to Maker

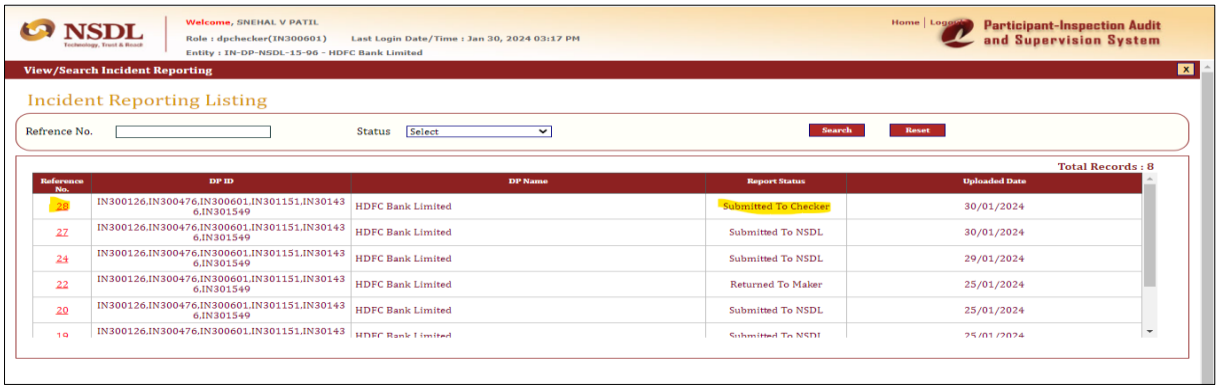
i. DP checker can send the report back to DP maker.

ii. Login using DP Checker.

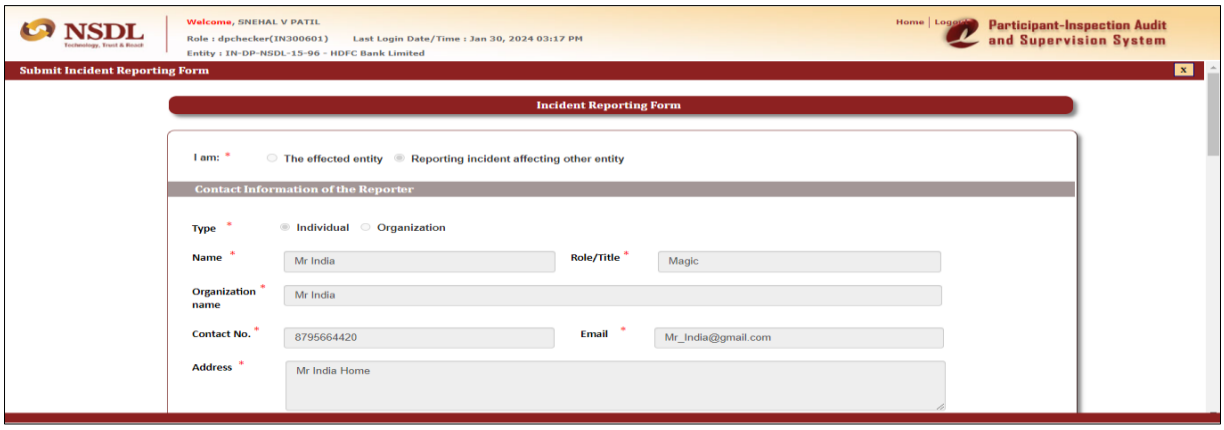
iii. Go to DP Periodical Reports ➔ Incident reporting form ➔ View/Search Incident reporting form.

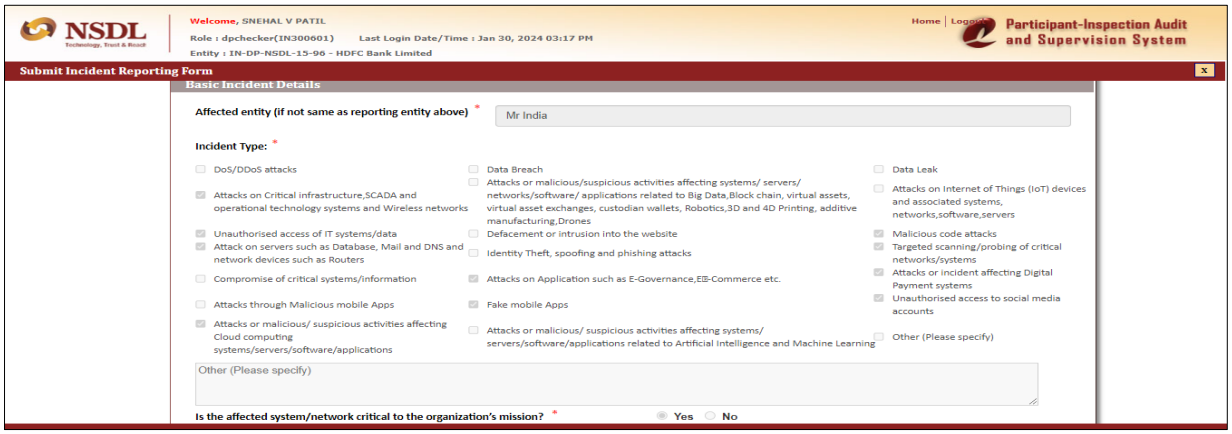


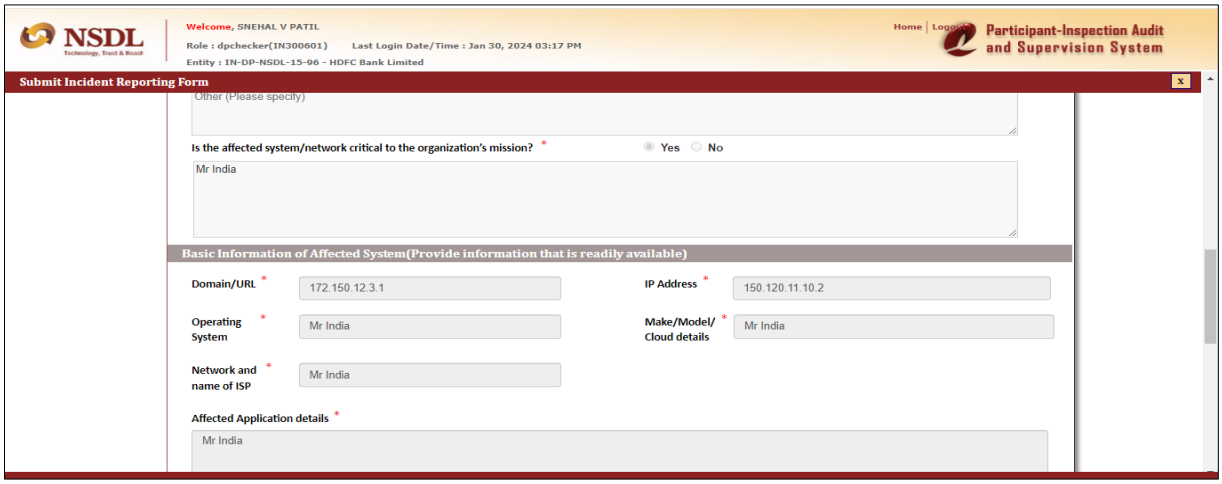
iv. Filter Report with Status 'Submitted to checker'.



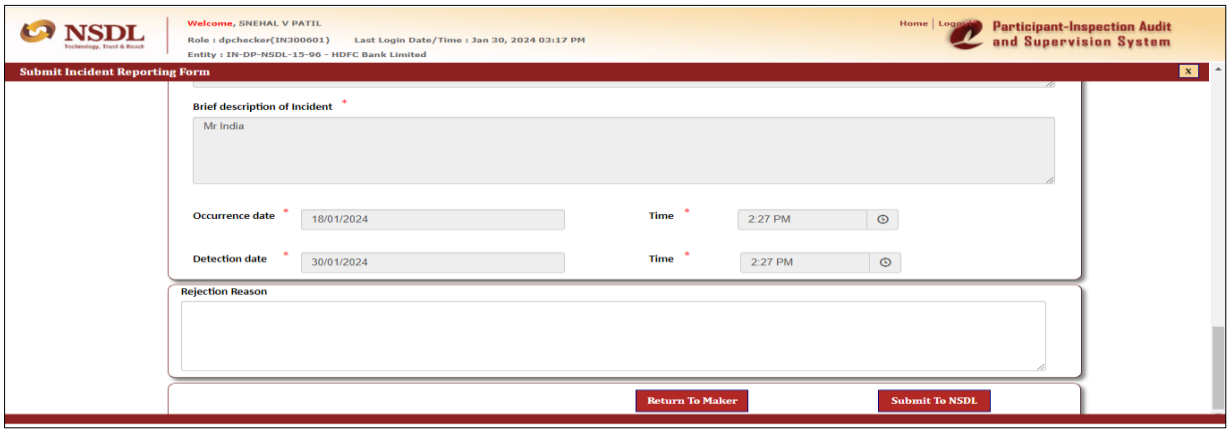
v. Click on the reference number to open the report.

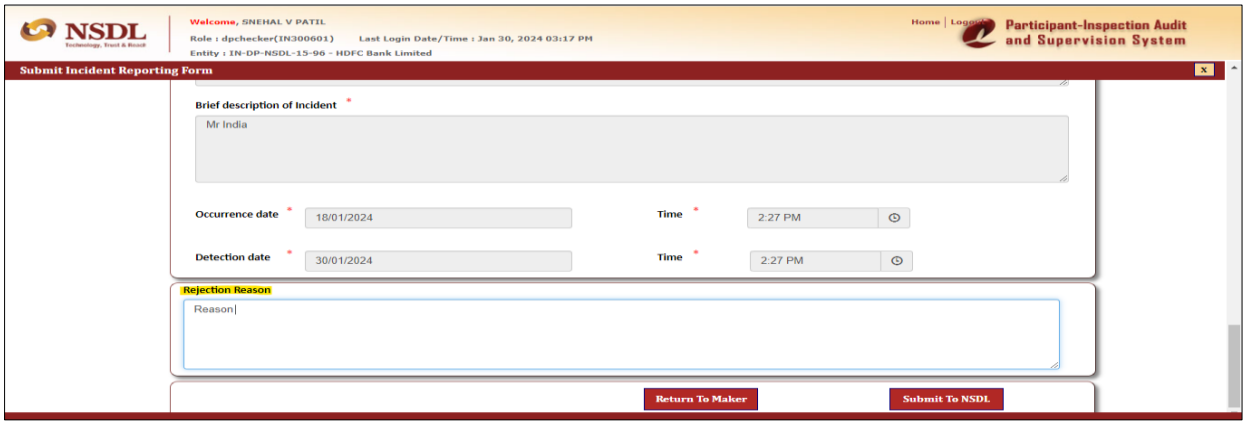






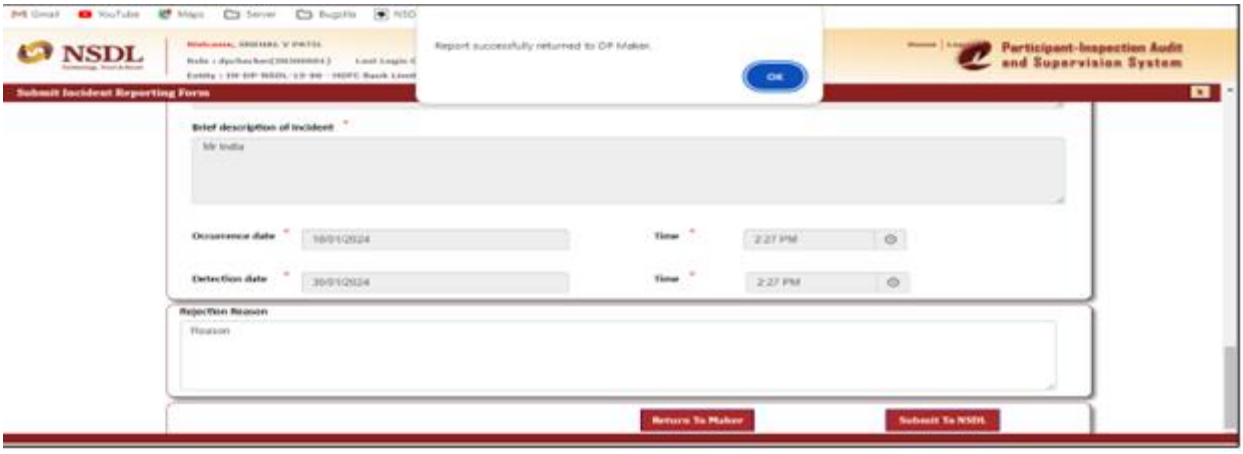
vi. Enter rejection reason in brief.



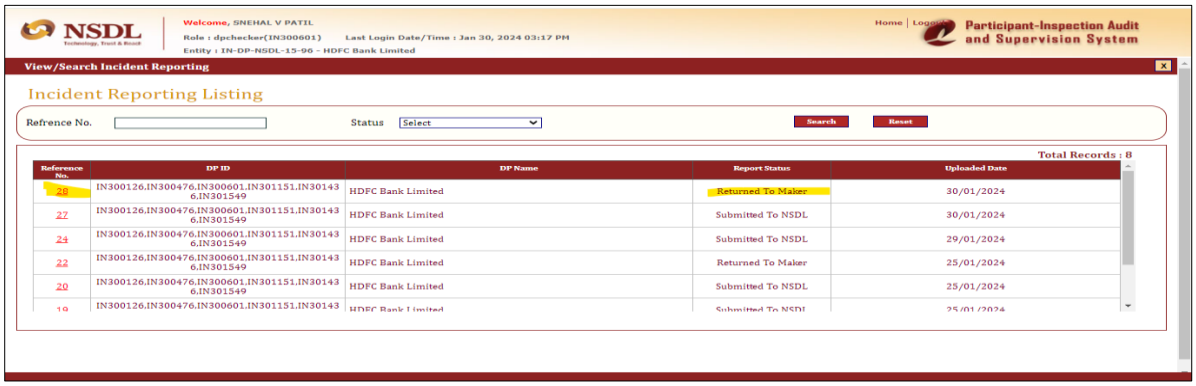


vii. Click on ‘Return to Maker’ button to send the Report to DP Maker

Following screen will be displayed.



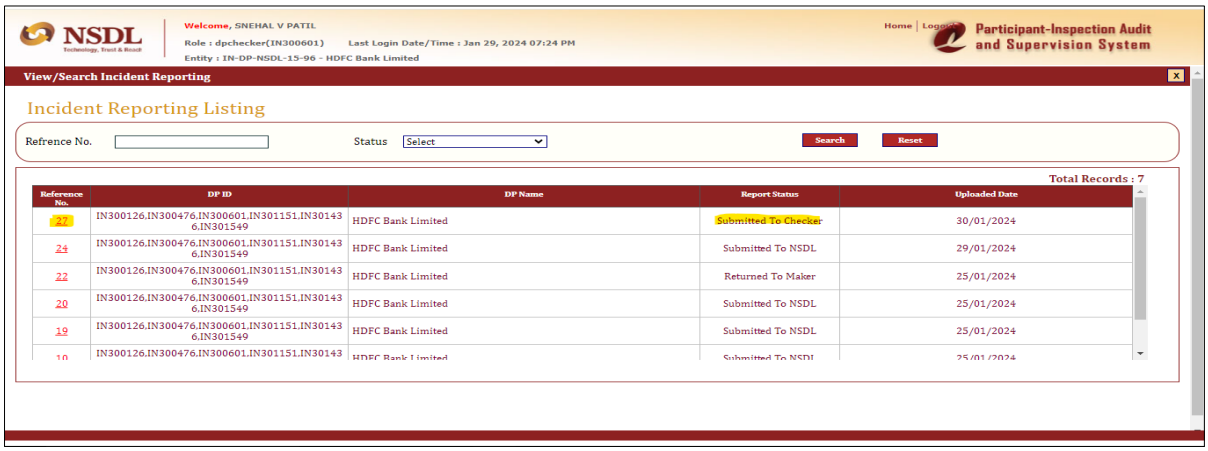
Report Status will be changed to 'Returned to DP Maker'.



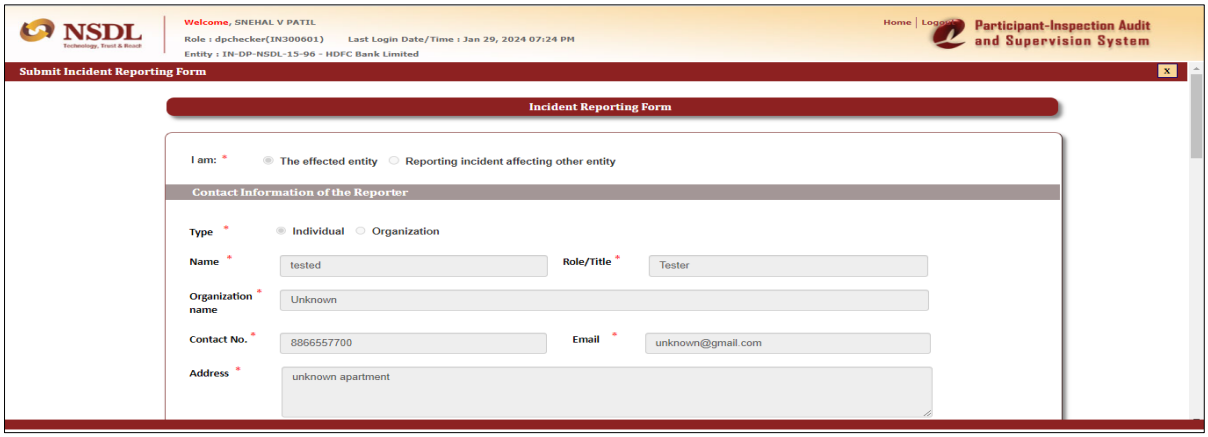
3. Submit the incident report to NSDL

i. Login with Checker id

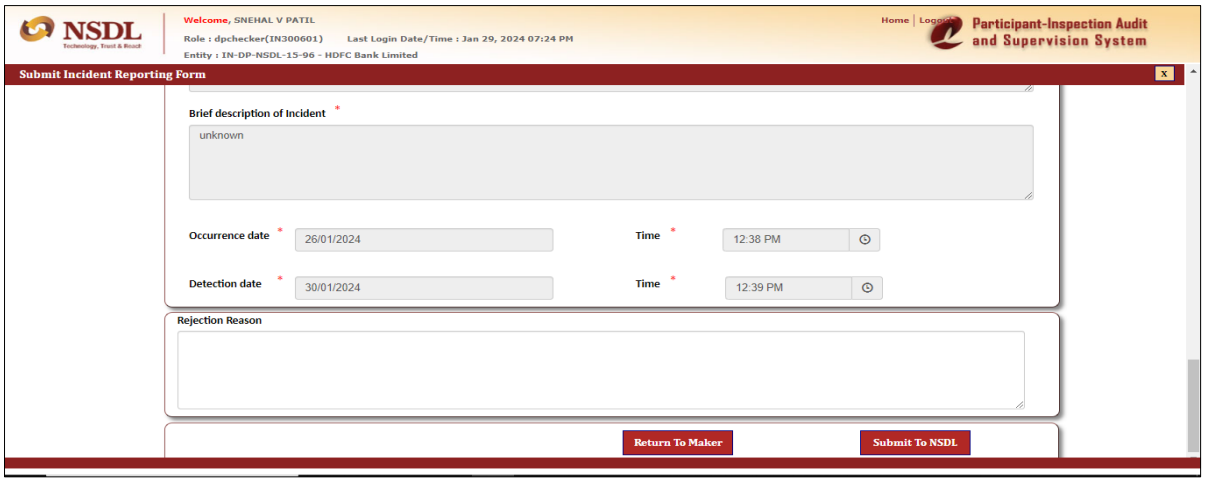
ii. Go to DP Periodical Reports ➔Incident reporting form ➔View/Search Incident reporting form.



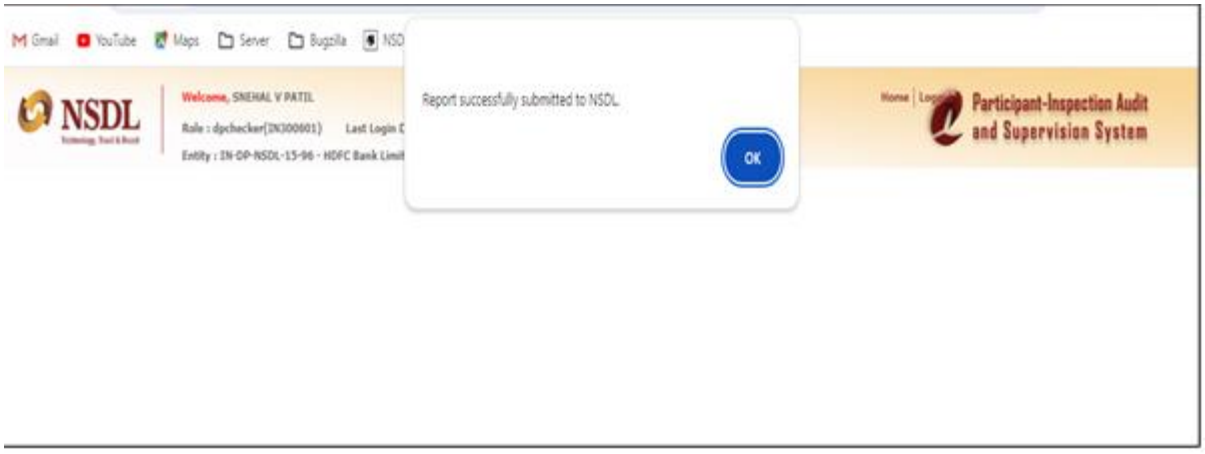
iii. Filter Report/s with status 'Submitted to Checker'. Click on the reference number to open the report.



iv. Click on 'Submit to NSDL' button to send the report to NSDL.



v. Following screen will be displayed post successful submission.

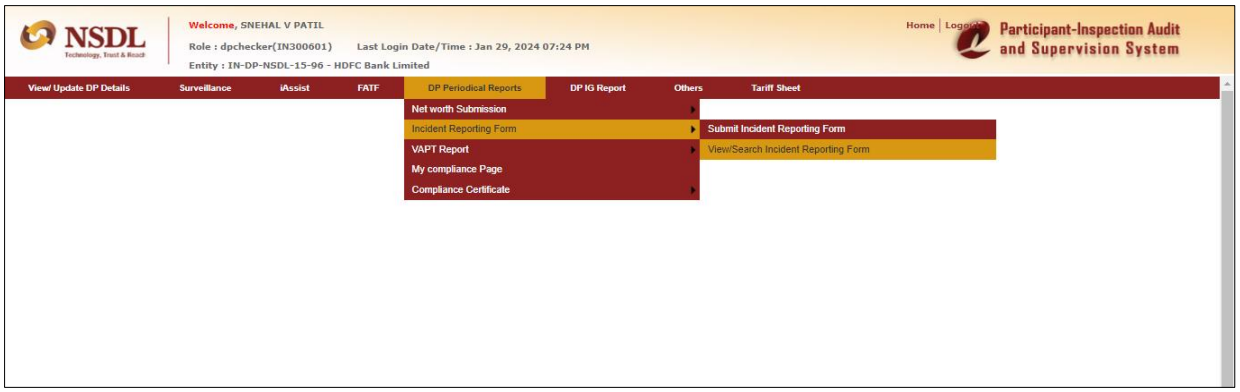


4. VIEW/SEARCH Incident reporting report

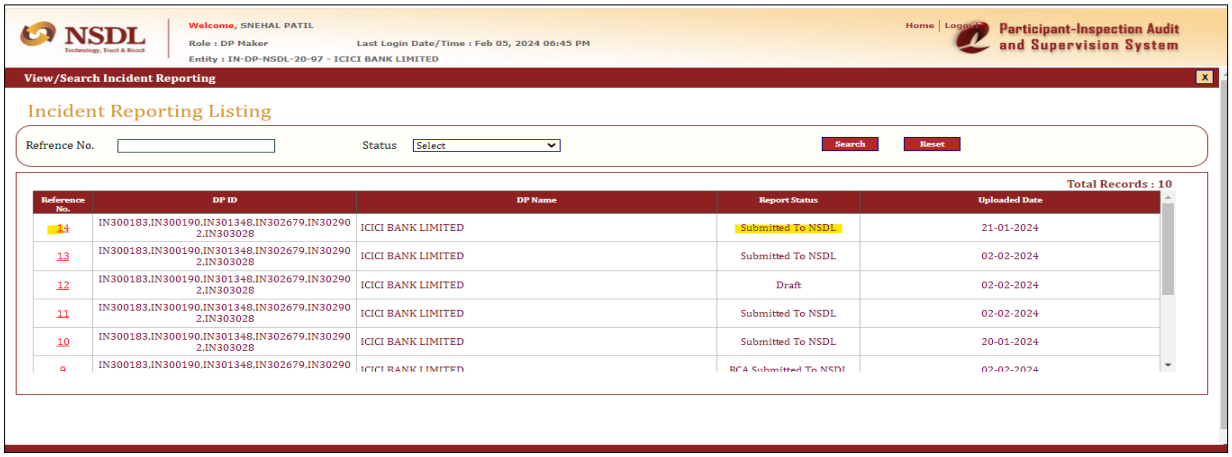
DP checker can check the submitted incident report from 'View / Search incident Reporting' form menu.

i. Login to e-PASS by using DP Checker

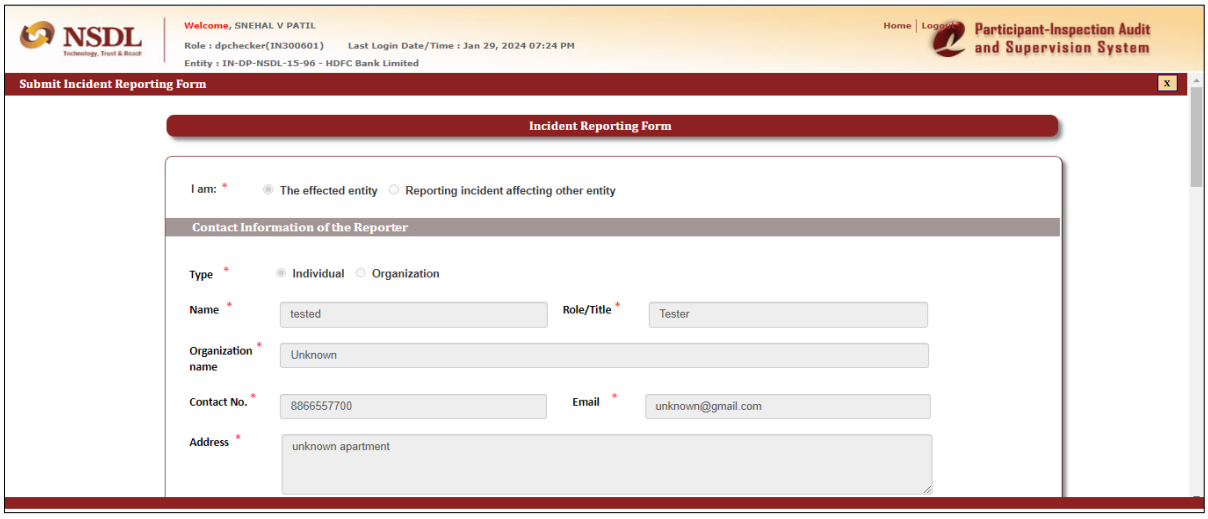
ii. Go to DP Periodical Reports ➔ Cyber Incident reporting ➔ View/Search Cyber Incident report.

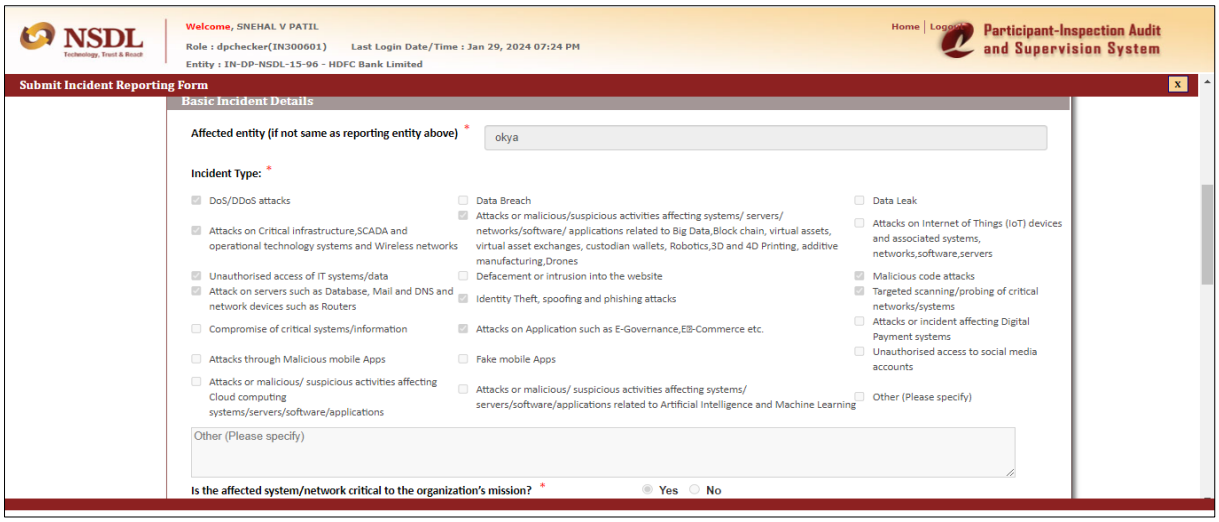


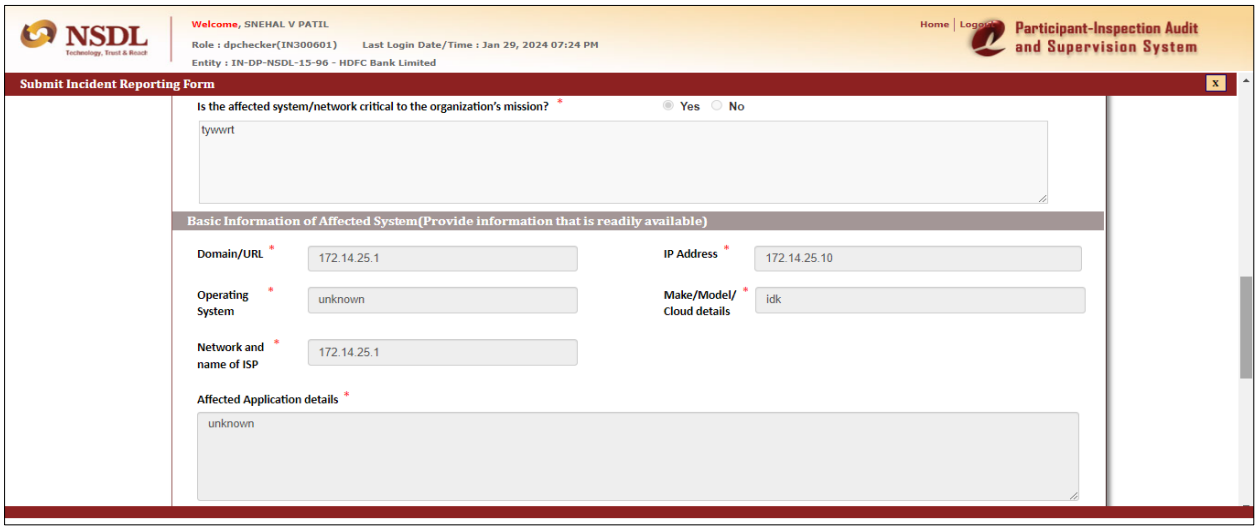
iii. Filter Report/s with status 'Submitted to NSDL'

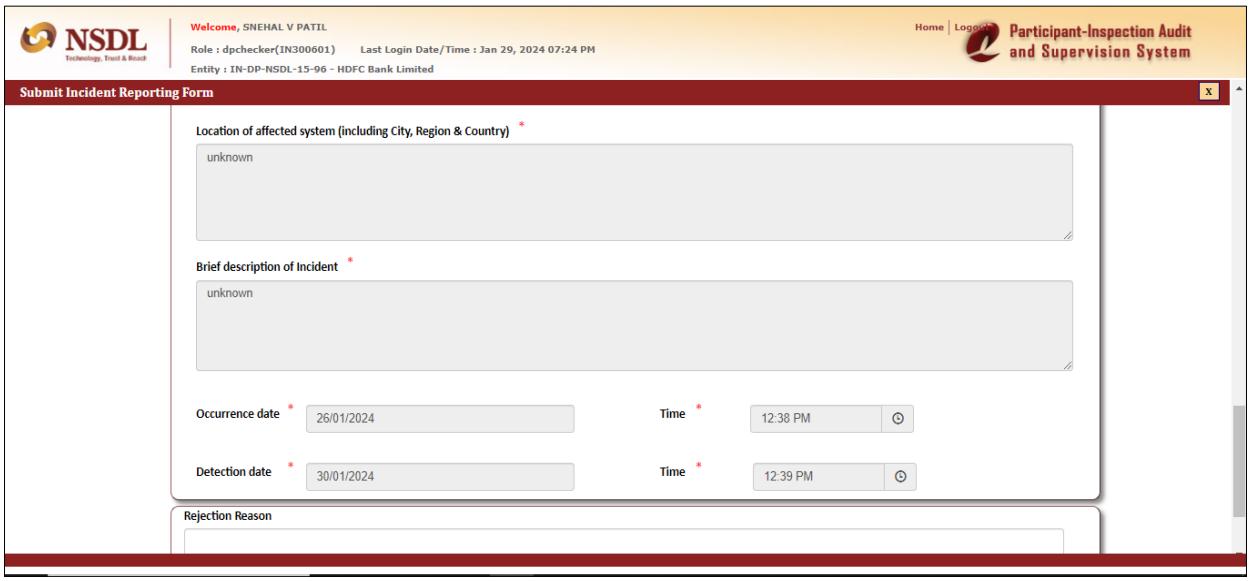


iv. Click on the reference number to open the report.




NSDL
Welcome, SNEHAL V PATIL
Role : dpchecker(IN300601) Last Login Date/Time : Jan 29, 2024 07:24 PM
Entity : IN-DP-NSDL-15-96 - HDFC Bank Limited
Home | Logout
Participant-Inspection Audit and Supervision System
Submit Incident Reporting Form
Basic Incident Details
Affected entity (if not same as reporting entity above) *
okya
Incident Type: *
DoS/DDoS attacks
Attacks on Critical infrastructure,SCADA and operational technology systems and Wireless networks
Unauthorised access of IT systems/data
Attack on servers such as Database, Mail and DNS and network devices such as Routers
Compromise of critical systems/information
Attacks through Malicious mobile Apps
Attacks or malicious/ suspicious activities affecting Cloud computing systems/servers/software/applications
Data Breach
Attacks or malicious/suspicious activities affecting systems/ servers/ networks/software/ applications related to Big Data,Block chain, virtual assets, virtual asset exchanges, custodian wallets, Robotics,3D and 4D Printing, additive manufacturing,Drones
Defacement or intrusion into the website
Identity Theft, spoofing and phishing attacks
Attacks on Application such as E-Governance,E-Commerce etc.
Fake mobile Apps
Attacks or malicious/ suspicious activities affecting systems/ servers/software/applications related to Artificial Intelligence and Machine Learning
Data Leak
Attacks on Internet of Things (IoT) devices and associated systems, networks,software,servers
Malicious code attacks
Targeted scanning/probing of critical networks/systems
Attacks or incident affecting Digital Payment systems
Unauthorised access to social media accounts
Other (Please specify)
Other (Please specify)
Is the affected system/network critical to the organization's mission? * Yes No


NSDL
Welcome, SNEHAL V PATIL
Role : dpchecker(IN300601) Last Login Date/Time : Jan 29, 2024 07:24 PM
Entity : IN-DP-NSDL-15-96 - HDFC Bank Limited
Home | Logout
Participant-Inspection Audit and Supervision System
Submit Incident Reporting Form
Is the affected system/network critical to the organization's mission? * Yes No
tywwrt
Basic Information of Affected System(Provide information that is readily available)
Domain/URL * 172.14.25.1
IP Address * 172.14.25.10
Operating System * unknown
Make/Model/ Cloud details * idk
Network and name of ISP * 172.14.25.1
Affected Application details *
unknown

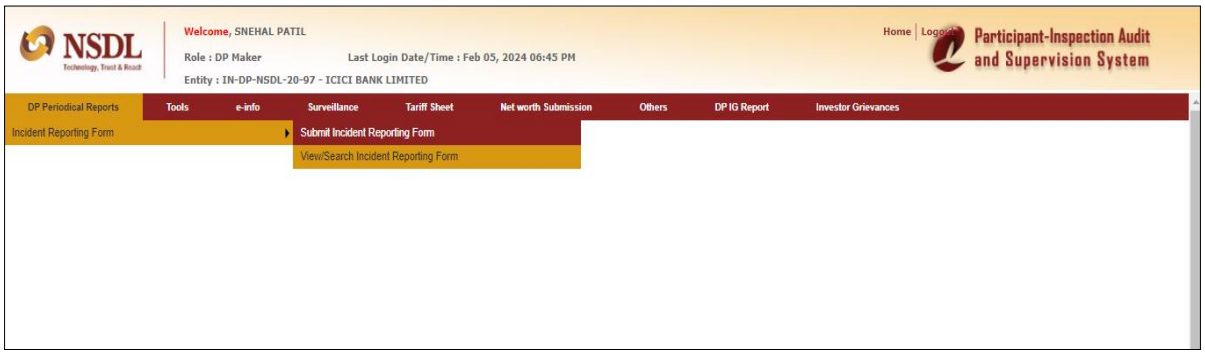

NSDL
Welcome, SNEHAL V PATIL
Role : dpchecker(IN300601) Last Login Date/Time : Jan 29, 2024 07:24 PM
Entity : IN-DP-NSDL-15-96 - HDFC Bank Limited
Home | Logout
Participant-Inspection Audit and Supervision System
Submit Incident Reporting Form
Location of affected system (including City, Region & Country) *
unknown
Brief description of Incident *
unknown
Occurrence date * 26/01/2024
Time * 12:38 PM
Detection date * 30/01/2024
Time * 12:39 PM
Rejection Reason

Annexure B

Guidelines to submit the Root Cause Analysis (RCA)

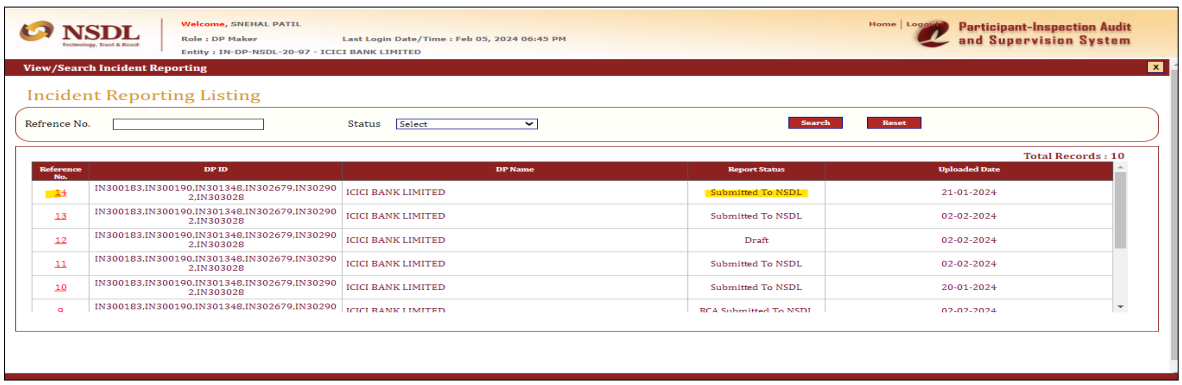
1. **Fill the report by maker ID**

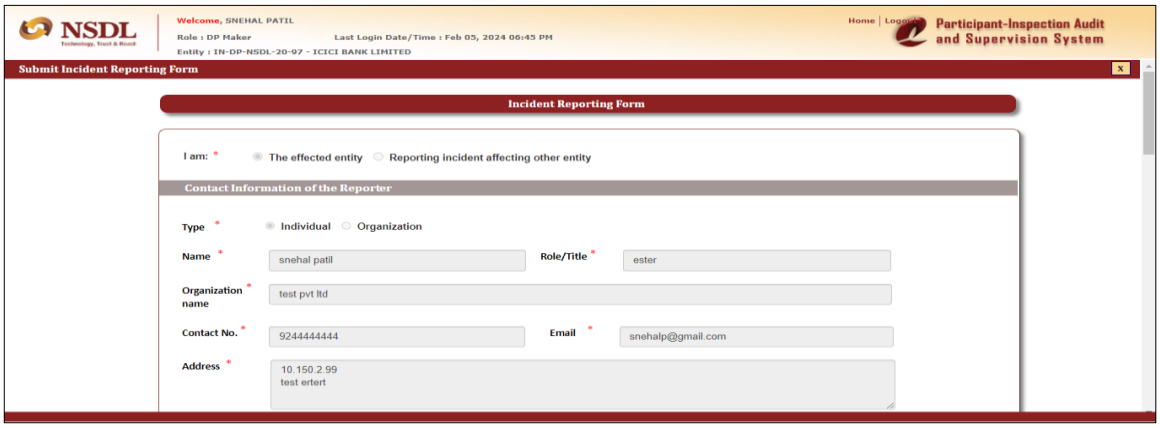
   i. Click on e-PASS URL: https://www.epass.nsdl.com to submit the report.
   ii. Login in e-PASS by using DP Maker id.
   iii. Go to DP Periodical Reports ➔ Incident reporting form ➔View/Search Incident reporting form.

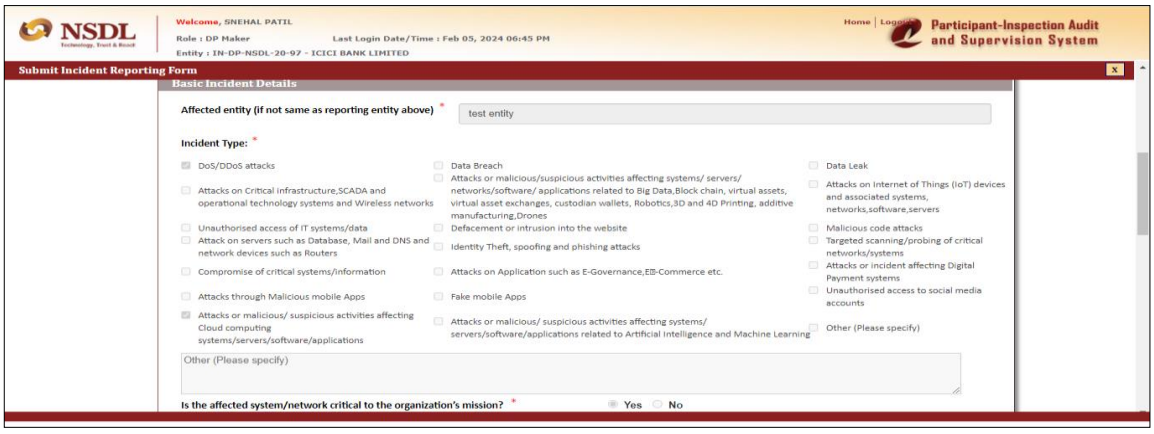


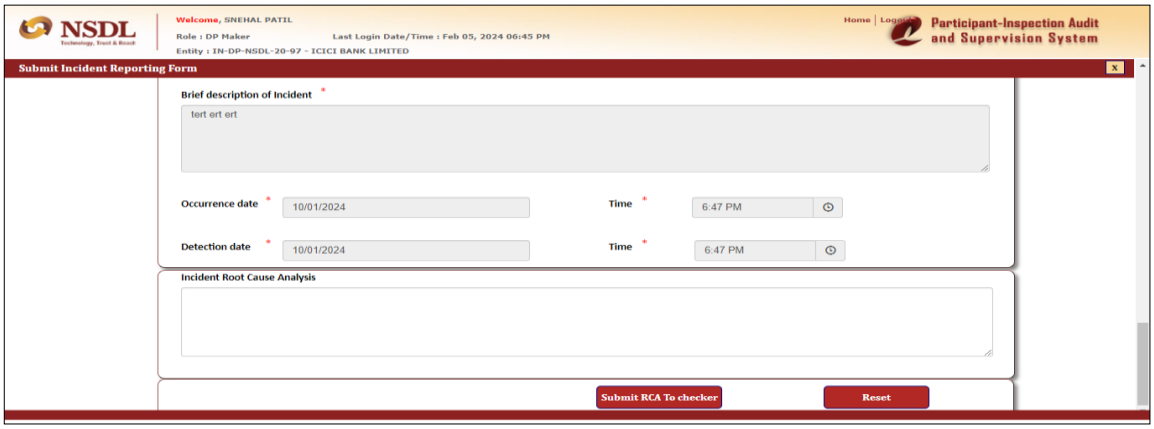
iv. Filter report with status ‘submitted to NSDL’.

   i. Click on the reference number to open the report.

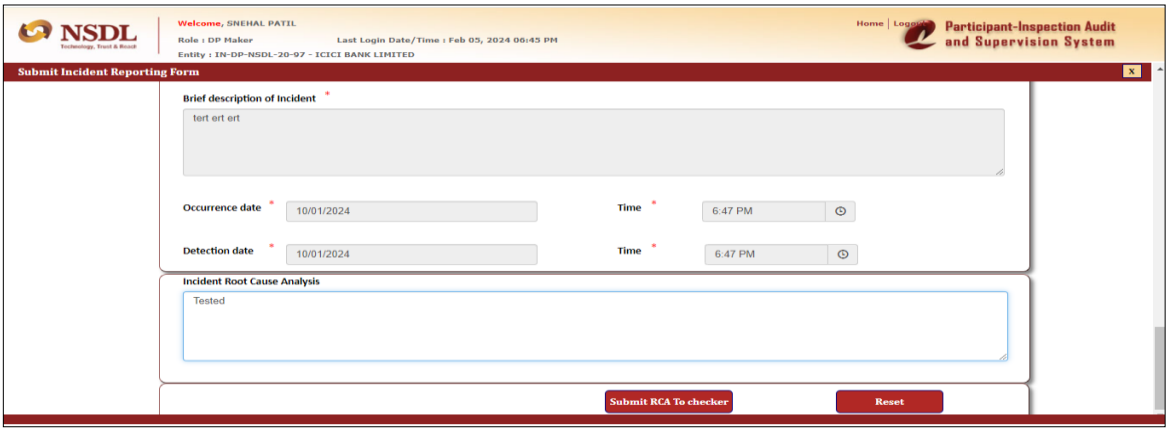



NSDL
Technology, Trust & Reach
Welcome, SNEHAL PATIL
Role : DP Maker
Last Login Date/Time : Feb 05, 2024 06:45 PM
Entity : IN-DP-NSDL-20-97 - ICICI BANK LIMITED
Home | Logout
Participant-Inspection Audit and Supervision System
Submit Incident Reporting Form
Incident Reporting Form
I am: * The effected entity Reporting incident affecting other entity
Contact Information of the Reporter
Type * Individual Organization
Name * snehal patil
Role/Title * ester
Organization name * test pvt ltd
Contact No. * 9244444444
Email * snehalp@gmail.com
Address * 10.150.2.99
test ertert


NSDL
Technology, Trust & Reach
Welcome, SNEHAL PATIL
Role : DP Maker
Last Login Date/Time : Feb 05, 2024 06:45 PM
Entity : IN-DP-NSDL-20-97 - ICICI BANK LIMITED
Home | Logout
Participant-Inspection Audit and Supervision System
Submit Incident Reporting Form
Basic Incident Details
Affected entity (if not same as reporting entity above) * test entity
Incident Type: *
DoS/DDoS attacks
Data Breach
Data Leak
Attacks on Critical infrastructure,SCADA and operational technology systems and Wireless networks
Attacks or malicious/suspicious activities affecting systems/ servers/ networks/software/ applications related to Big Data,Block chain, virtual assets, virtual asset exchanges, custodian wallets, Robotics,3D and 4D Printing, additive manufacturing,Drones
Attacks on Internet of Things (IoT) devices and associated systems, networks,software,servers
Unauthorised access of IT systems/data
Attack on servers such as Database, Mail and DNS and network devices such as Routers
Defacement or intrusion into the website
Identity Theft, spoofing and phishing attacks
Malicious code attacks
Targeted scanning/probing of critical networks/systems
Compromise of critical systems/information
Attacks on Application such as E-Governance,EB-Commerce etc.
Attacks or incident affecting Digital Payment systems
Attacks through Malicious mobile Apps
Fake mobile Apps
Unauthorised access to social media accounts
Attacks or malicious/ suspicious activities affecting Cloud computing systems/servers/software/applications
Attacks or malicious/ suspicious activities affecting systems/ servers/software/applications related to Artificial Intelligence and Machine Learning
Other (Please specify)
Other (Please specify)
Is the affected system/network critical to the organization's mission? * Yes No

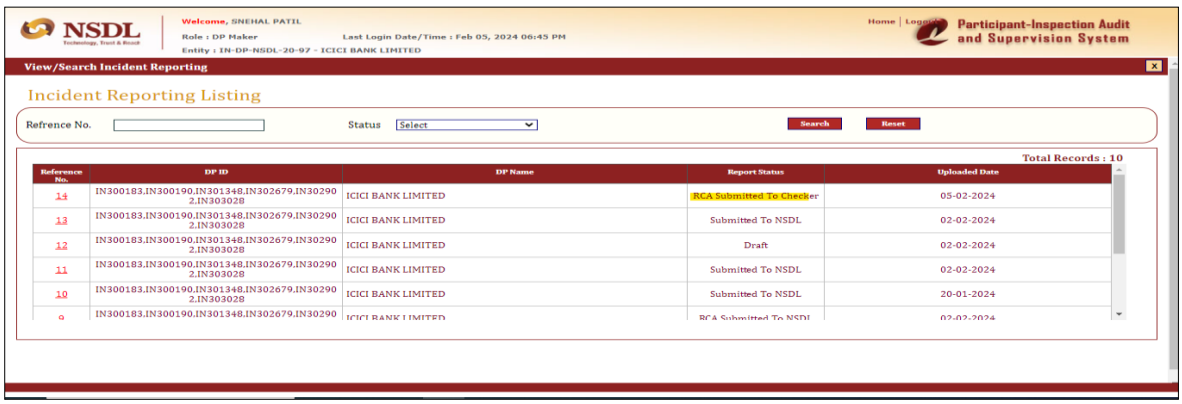

NSDL
Technology, Trust & Reach
Welcome, SNEHAL PATIL
Role : DP Maker
Last Login Date/Time : Feb 05, 2024 06:45 PM
Entity : IN-DP-NSDL-20-97 - ICICI BANK LIMITED
Home | Logout
Participant-Inspection Audit and Supervision System
Submit Incident Reporting Form
Brief description of Incident *
tert ert ert
Occurrence date * 10/01/2024
Time * 6:47 PM
Detection date * 10/01/2024
Time * 6:47 PM
Incident Root Cause Analysis
Submit RCA To checker
Reset

vi. Enter RCA details and click on 'submit RCA to checker' button.



vii. Following screen will be displayed.

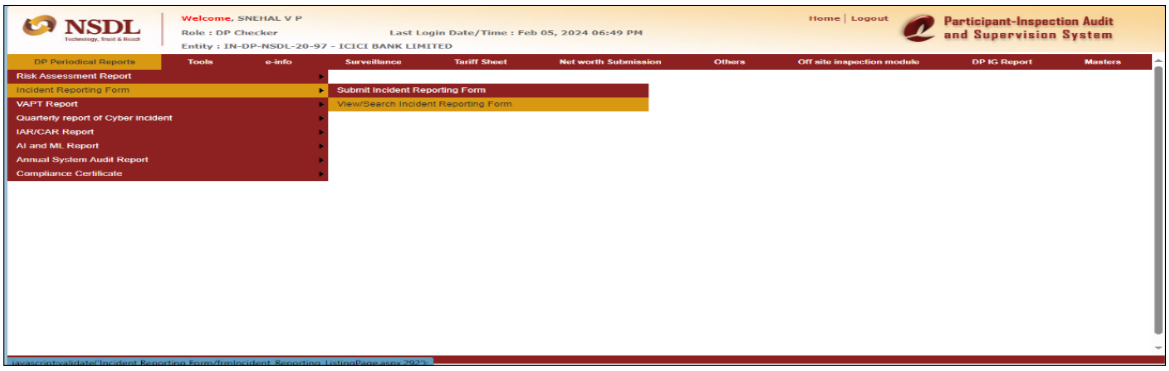
viii. Status of report will be changed to "RCA Submitted to Checker'



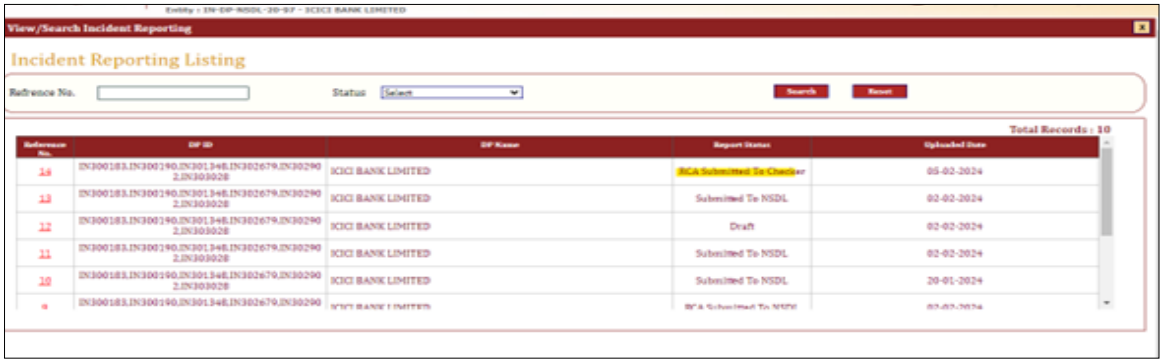
2. RCA Returned to DP Maker:

i. Login by using DP Checker

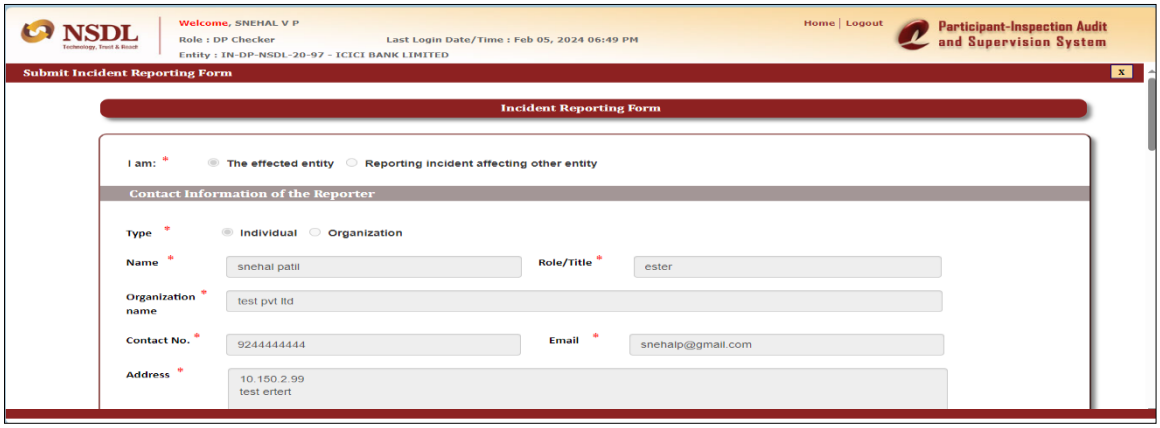
ii. Go to DP Periodical Reports ➔ Incident reporting form ➔ View/Search Incident reporting form

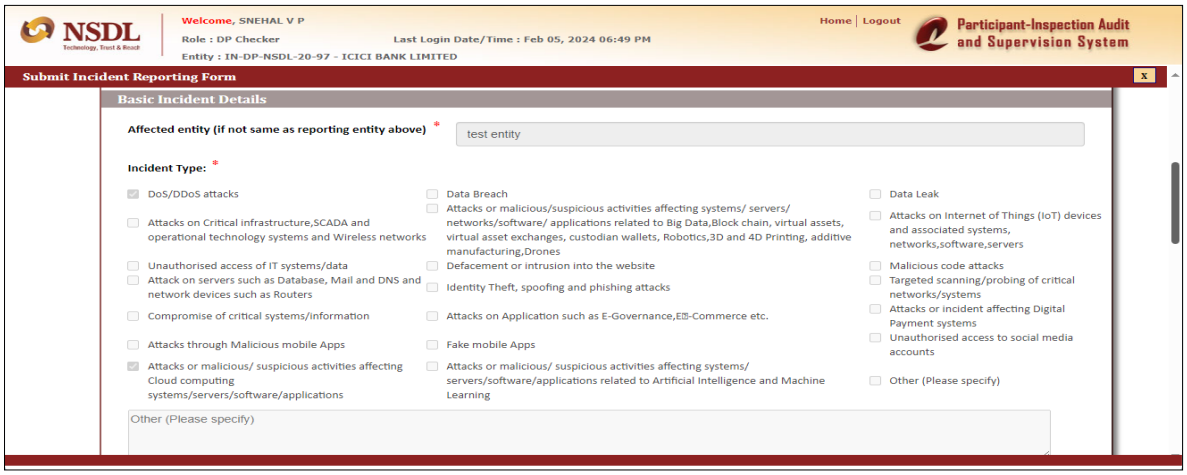


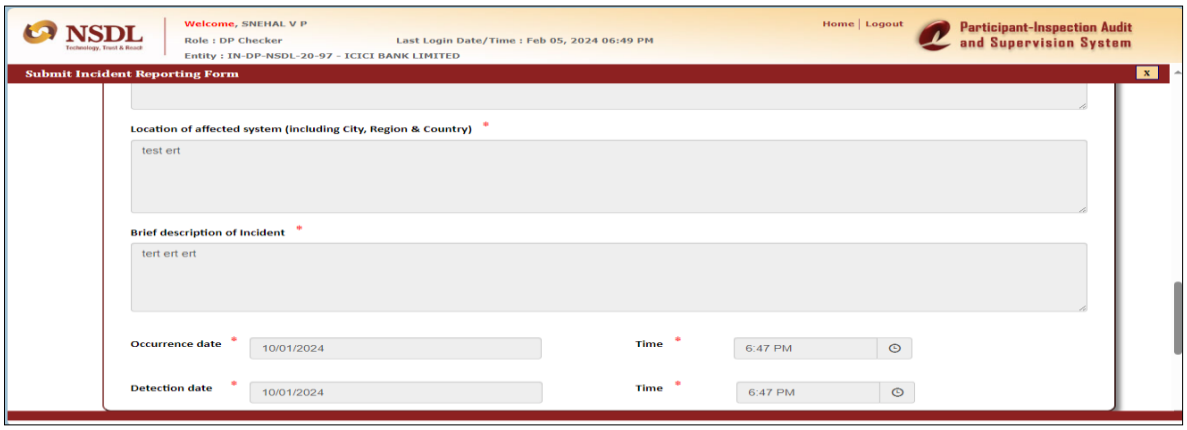
iii. Filter report with status 'RCA Submitted to DP Checker'



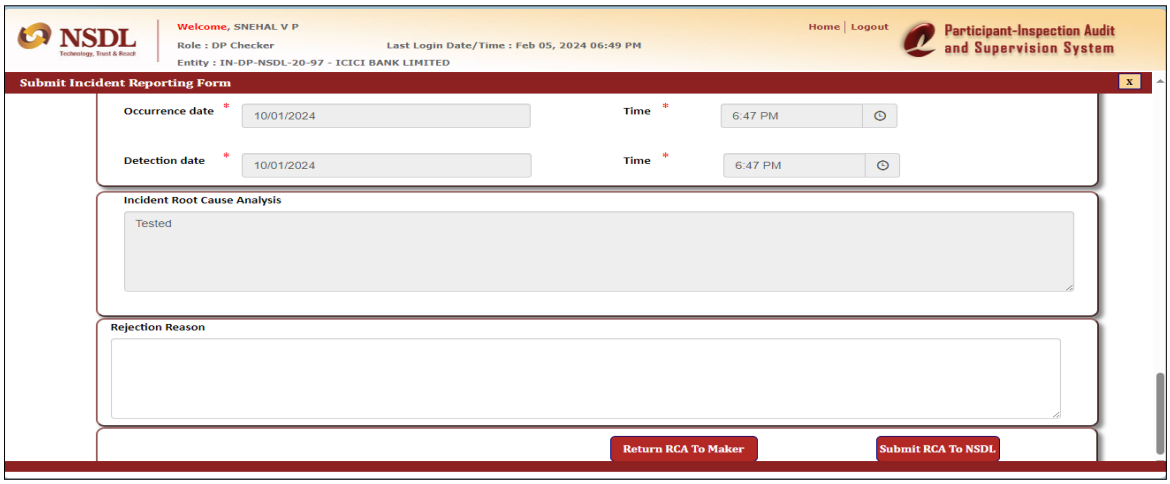
iv. Click on the reference number to open the report.







v. Enter rejection reason ➔Click on Returned to Maker

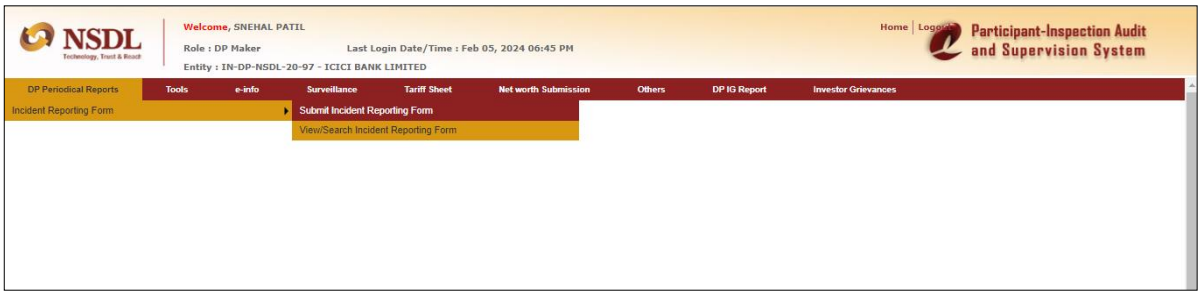


vi. RCA successfully returned to DP maker.

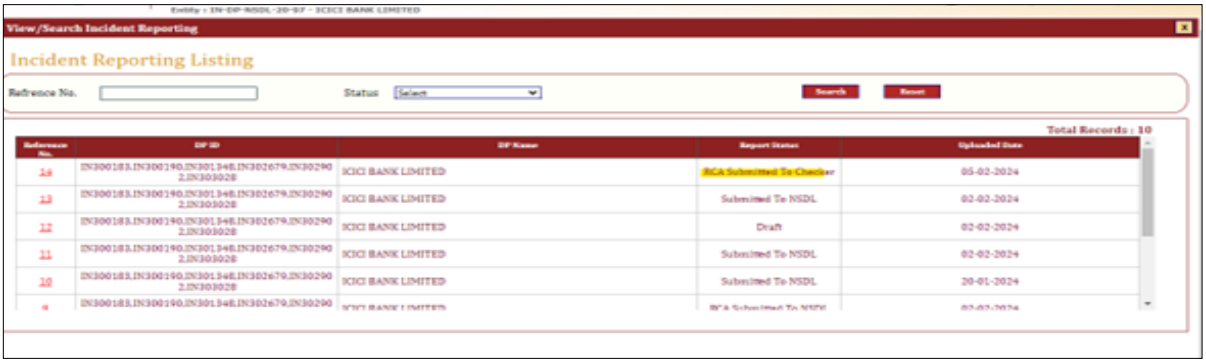
3. Submit the Root Cause Analysis report to NSDL

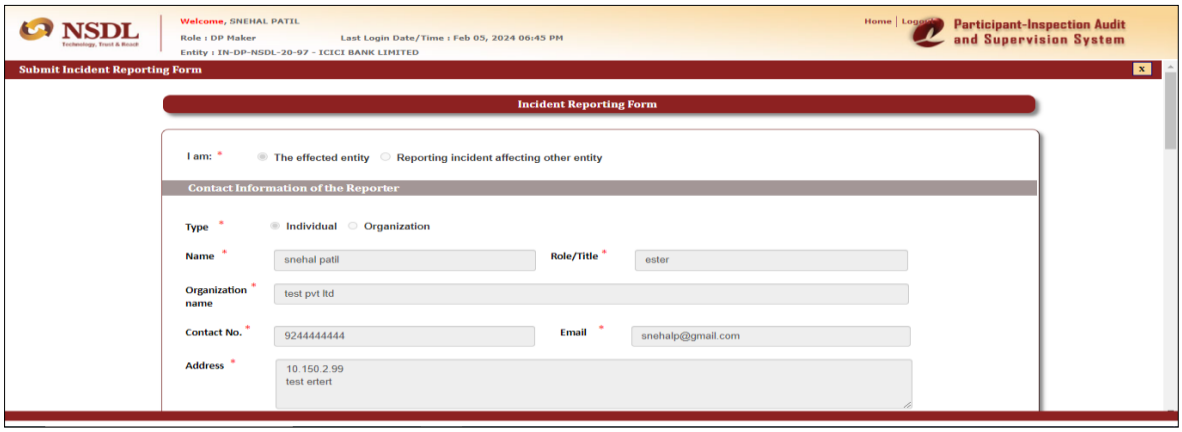
i. Login by DP Checker.

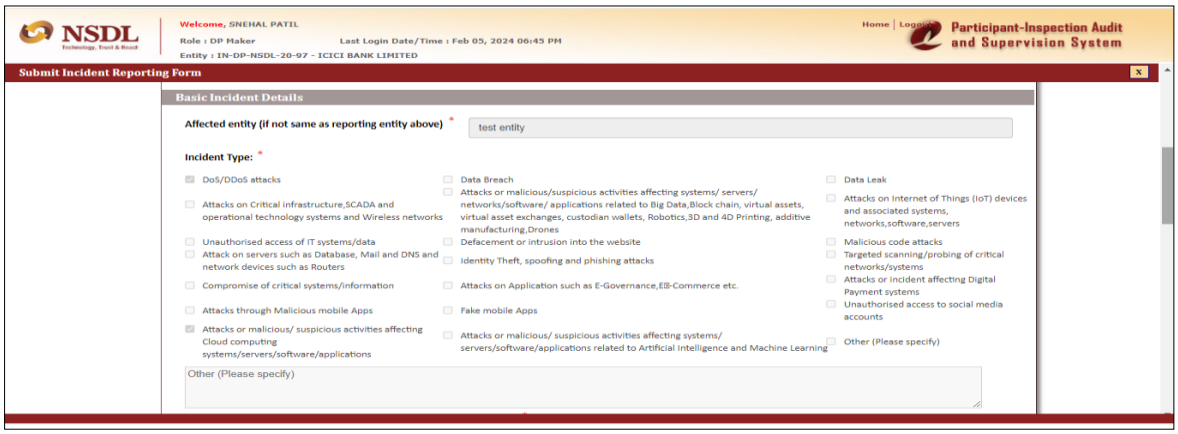
ii. Go to DP Periodical Reports➔ Incident reporting form ➔View/Search Incident reporting form



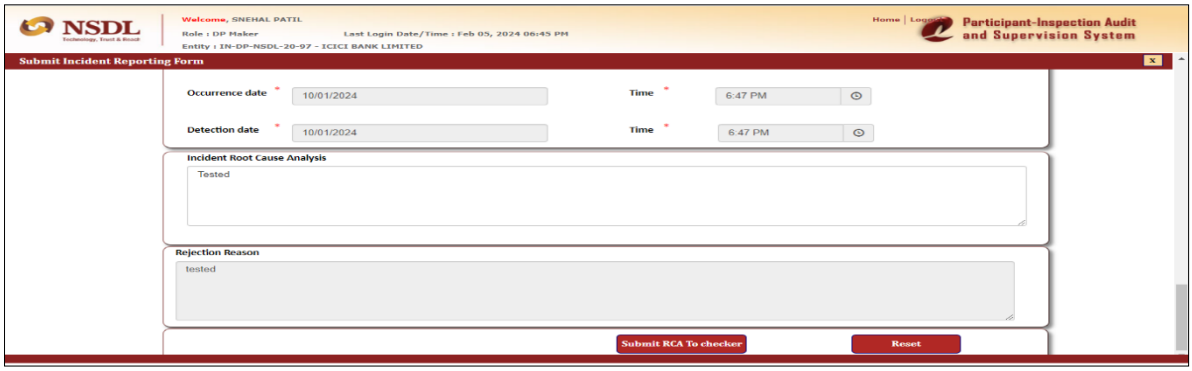
iii. Filter report with status ‘RCA Submitted to DP Checker’







iii. Click on Submit RCA to NSDL.

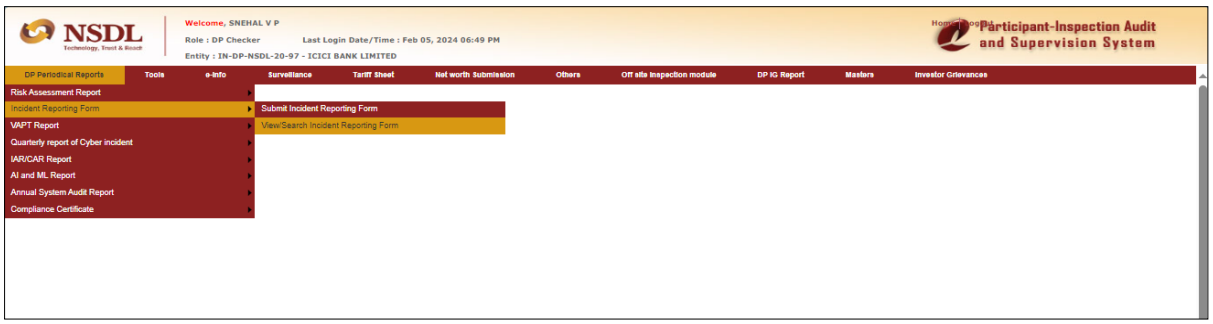


4. VIEW/SEARCH Root Cause Analysis report

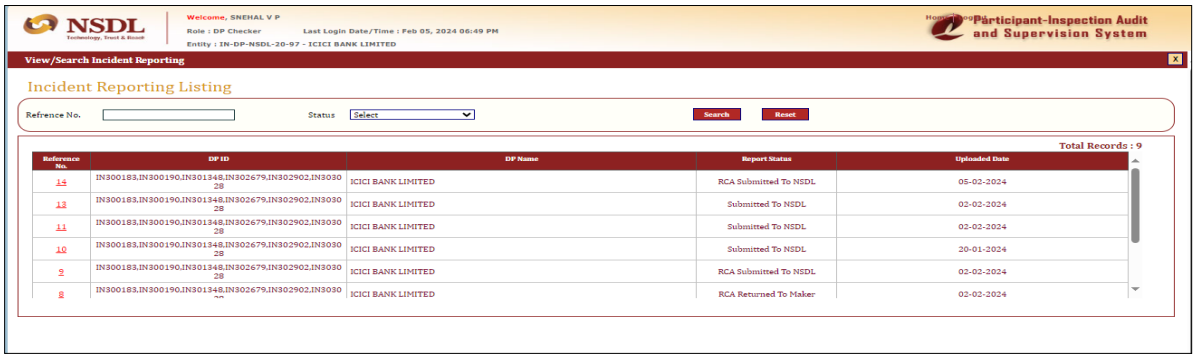
i. After submission of RCA report user can view the report by using view search incident report tab

DP checker can check the submitted root cause analysis report from 'View / Search incident Reporting form' menu.

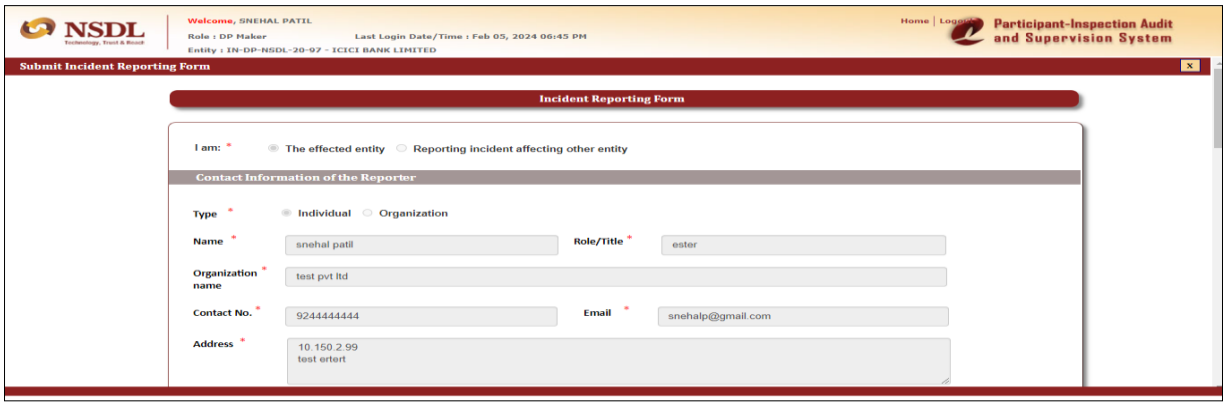
i. Login to e-PASS by using DP Checker
ii. Go to DP Periodical Reports → Incident reporting form → View/Search Incident reporting form.

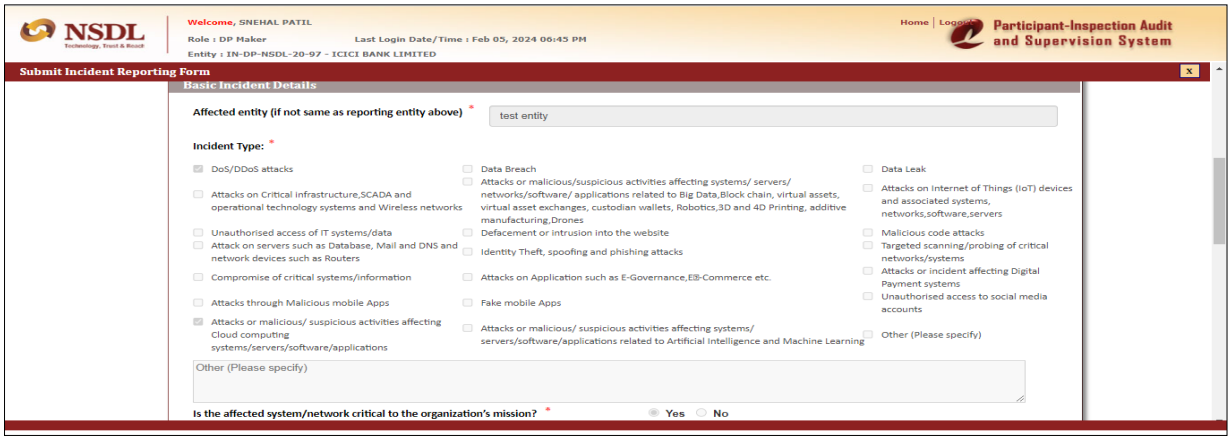


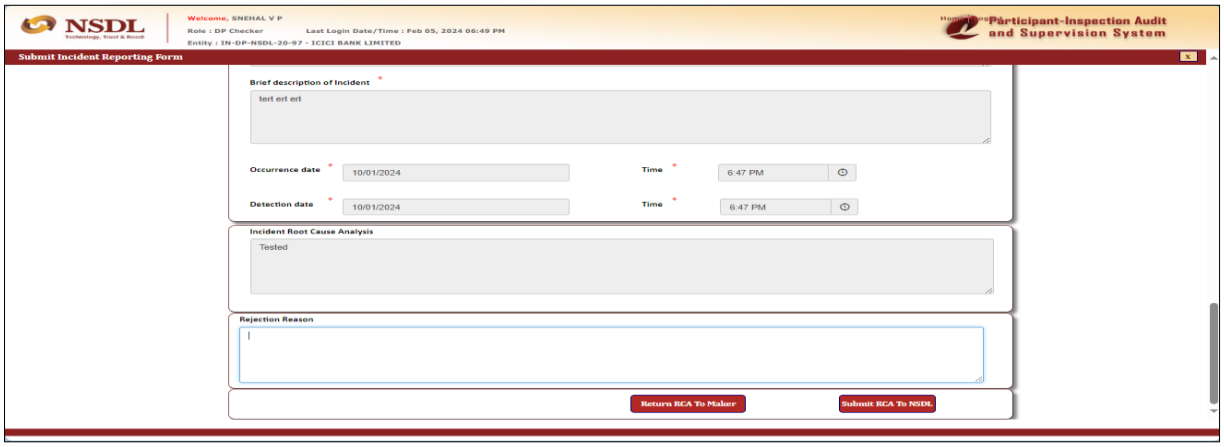
iii. Filter Report with Status 'RCA Submitted to NSDL'.



iii. Click on the reference number to open the report







END OF THE DOCUMENT

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