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| From: | Report | 02 |
| | Bank | |
| | Branch | |
| | Subject | Information System Audit Report |
| | Date of Review | |

| Sr. No. | | Observations | |
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| | | Qty. | Average age |
| 1.0 | Hardware installed at branch: | | |
| | Item | | |
| 1.1 | Pentium-II | | |
| 1.2 | Pentium-III | | |
| 1.3 | Pentium-IV | | |
| 1.4 | Printer (Dot Matrix) | | |
| 1.5 | Printers (Ink-Jet) | | |
| 1.6 | UPS | | |
| 1.7 | Scanners | | |
| 1.8 | Modems | | |
| 1.9 | Hubs | | |
| 1.10 | Others | | |
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| 2.0 | Installation of Computers: | | |
| 2.1 | Whether computers are maintained in dust free environment? | | |
| 2.2 | Whether computers were kept clean? | | |
| 2.3 | Whether separate electrical supply line has been provided for computer equipment with necessary circuit breakers? | | |
| 2.4 | Whether computers have been housed in separate cabins or on kept at the counter with facility of locking? | | |
| 2.5 | Whether earthing for electrical line is checked at periodic intervals? (Reading on the voltage meter on neutral points should show between 0-5 ampere) | | |
| 2.6 | Whether Earthing of the building is checked at periodic intervals? | | |
| 2.7 | Whether detailed map of the cable lay out including the hubs is available with the branch? (It will facilitate fast repairs to LAN cable faults) | | |
| 2.8 | Whether HUBS have been installed in a secured place? (To avoid possible physical tampering) | | |
| 2.9 | Whether LAN cables have been allowed to trail on the floor? | | |
| 2.10 | Whether any heavy article is kept on the cables? (To avoid possible data loss) | | |
| 2.11 | Whether EDP department monitors Volume / Space information periodically? | | |
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| 3.0 | Server Room: | |
| 3.1 | Whether server room is away from the main door, windows, passage and customer area? | |
| 3.2 | Whether AC provides adequate cooling and humidity for the server? | |
| 3.3 | Whether temperature measuring instrument and smoke & fire detectors has been installed in server room? | |
| 3.4 | Whether server room is locked? | |
| 3.5 | Whether entry to server room is restricted? | |
| 3.6 | Whether server is password protected? | |
| 3.7 | Whether server room is maintained clean and not used for storage of any record? | |
| 3.8 | Whether printer has been kept in server room? | |
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| 4.0 | Scanner: | |
| 4.1 | Whether scanner has been kept under lock when not in use? | |
| 4.2 | If scanner is attached to a particular terminal, whether the said terminal is password protected? | |
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| 5.0 | Fire Extinguishers: | |
| 5.1 | Fire extinguishers of CO2 inert gas type can only be used on computer equipment (in the event of fire breaking out) | Type to be stated. |
| 5.2 | Whether fire extinguishers have been installed? | Yes No. |
| 5.3 | If yes, whether in up to date condition? | |
| 5.4 | Next service due on | |
| 5.5 | Whether staff members have been given adequate training to use fire extinguishers in case of need? | |
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| 6.0 | Physical Security: | |
| 6.1 | Whether computer items are properly numbered and entered in the dead stock register? | |
| 6.2 | Whether machines under warranty period are marked separately with date of purchase? | |
| 6.3 | Whether physical verification of computers etc. is done periodically? | |
| 6.4 | If yes, date of last such verification & by whom? | |
| 6.5 | Whether any discrepancy was noticed? | |
| 6.6 | Whether any items have been sent for servicing / repairs? | |
| 6.7 | Whether any item is in irreparable condition? | |
| 6.8 | Whether any surplus hardware is lying with the branch? With whom? | |
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| 7.0 | Insurance:(Electronic Equipment Policy) | | |
| 7.1 | Whether insurance policy has been taken? | | |
| ➤ | Sum insured | | |
| ➤ | Valid up to | | |
| ➤ | Risk covered | | |
| 7.2 | Whether movement of hardware from one office to another office is informed to Insurance company? | | |
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| 8.0 | Hardware Maintenance: | | |
| 8.1 | Whether service contract (AMC) has been given for following items? | Yes / No | Period |
| ➤ | Computers | | |
| ➤ | Printers | | |
| ➤ | UPS | | |
| ➤ | Modem | | |
| ➤ | | | |
| 8.2 | Whether preventive maintenance is done? | | |
| 8.3 | If yes, what is the frequency? | | |
| 8.4 | Date of last such maintenance | | |
| 8.5 | Comments on quality of service ---- Preventive ---- Breakdown | | |
| 8.6 | Whether a log-sheet of hardware (Computers, UPS & Printers) problems is maintained? | | |
| 8.7 | If yes, whether updated regularly? | | |
| 8.8 | Whether visit report of service personnel are reviewed by Branch official, EDP department? | | |
| 8.9 | Whether name, address, telephone numbers, Name of the concerned engineer etc. is noted in the said register? | | |
| 8.10 | Who is the system administrator of the branch? | | |
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| 9.0 | UPS: | | |
| 9.1 | Whether power supply has been provided to computers through UPS? | | |
| 9.2 | Whether UPS room is locked? | | |
| 9.3 | Whether entry to UPS room is restricted? | | |
| 9.4 | Whether UPS system is free of load from electrical equipments such as fan, AC, tube lights etc.? | | |
| 9.5 | Whether batteries are kept for charging after office hours? | | |
| 9.6 | Whether periodic checking of UPS & batteries is done? | | |
| 9.7 | Whether record to that effect has been kept? | | |
| 9.8 | What is the duration for which computer system can function on UPS? | | |
| 9.9 | When UPS was put to use last? | | |

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| 9.10 | What was the approx. duration? | |
| 9.11 | Whether register has been maintained to record power failure? | |
| 9.12 | Whether loss of data is confirmed after every power failure? | |
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| 10.0 | Anti-Virus: | |
| 10.1 | Whether Anti-virus software is used? | |
| 10.2 | Details. | |
| 10.3 | Whether this is the licensed copy of software? | |
| 10.4 | Whether the said version is latest? | |
| 10.5 | Date of last updating. | |
| 10.6 | Whether the anti-virus program is activated at fixed time? | |
| 10.7 | Whether Anti-virus software has been loaded even on PCs with hard disk? | |
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| 11.0 | Software: | |
| 11.1 | Which software does the branch use? | |
| 11.2 | Whether it is latest? | |
| 11.3 | Whether it is authorized copy? | |
| 11.4 | Whether MS-Office installed at the branch is an authorized copy of software? | |
| 11.5 | Whether any unauthorized software is installed at the branch? | |
| 11.6 | Whether any games have been installed in server / hard disk? | |
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| 12.0 | Software Maintenance: | |
| 12.1 | Who is responsible for software maintenance? | |
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| 13.0 | Back up: | |
| 13.1 | Whether back up is taken of data & program? | |
| 13.2 | If yes, when? | |
| 13.3 | Whether back up register is kept? | |
| 13.4 | Whether signed by concerned officer and time is recorded? | |
| 13.5 | Whether Hard_disk-to-Hard_disk back up is taken? | |
| | If yes, when? | |
| 13.6 | Where back up cartridges are stored in fireproof cabinet? | |
| 13.7 | Whether back up is sent to HO, locker, nearby branch etc.? | |
| 13.8 | If yes, whether record is kept? | |
| 13.9 | Whether Branch manager takes back up home? | |

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| 13.10 | If back up is taken on floppies, whether floppies are formatted periodically and replaced at regular intervals? | |
| 13.11 | Whether back up has been taken in latest device? | |
| 13.12 | Whether back up was tested for restoration? | |
| 13.13 | Whether monthly back up is taken? | |
| 13.14 | Whether yearly back up is taken? | |
| 13.15 | Whether Disaster Recovery and Business Continuity Plan has been documented and tested periodically? | |
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| 14.0 | Data Purging: | |
| 14.1 | Whether top management authorizes data purging? | |
| 14.2 | Whether back up before and after purging has been taken? | |
| 14.3 | If yes, whether tapes have been properly labeled indicating the date, period & other details? | |
| 14.4 | Where purged data has been stored? (On the server in another volume or on the node with hard disk or on a standalone PC) | |
| 14.5 | Whether access to the purged data has been restricted? | |
| 14.6 | Whether all the required reports before purging are printed and filed? | |
| 14.7 | Whether manual record of the purging has been kept? | |
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| 15.0 | LAN Security: | |
| | Whether following controls are observed? | |
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| 15.1 | Login Controls: | |
| ➤ | After how many unsuccessful attempts at login, a user is locked out? | |
| ➤ | What is the frequency stipulated for change of password? | |
| ➤ | Any restriction on number of logins in a day? | |
| ➤ | Whether guessable passwords have been listed to debar its use? | |
| ➤ | Whether any staff member possesses multiple levels or more than one user-id in the system? | |
| ➤ | Whether any dummy user-id has been created in the system? | |
| ➤ | Whether branch has suspended user-ids of staff on long leave, transferred, deputed for training etc? | |
| ➤ | Whether branch obtains acknowledgement from every user at the time of creation / allotment of user-ids? | |

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| ➤ | Whether undertaking is obtained from the staff for maintaining secrecy and confidentiality of the password? | | |
| ➤ | Whether branch has maintained Password Issue and Password Changes Registers. | | |
| ➤ | Whether branch official reviews the user login status report and record his remark in that regard in Password Issue register? | | |
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| 15.2 | Data Access Controls: | | |
| | Whether users are given only the rights that are essential for carrying out their duties? | | |
| 15.3 | Terminal Controls: | | |
| | Whether computer system has been instructed to restrict particular user to particular terminals only? | | |
| 15.4 | Temporal Controls: | | |
| | Whether the user and terminal is provided with computer facility only during specified times in a working day? | | |
| 15.5 | Dial up Controls: | | |
| | Whether dial back provision is made in case outsider is allowed to access a computer through telephone connection? | | |
| 15.6 | Back up Controls: | Refer Sr. No. 13 | |
| 15.7 | Duration of inactivity before screen gets locked? | | |
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| 16.0 | Data Security: | | |
| 16.1 | Whether branch parameters, subsystem codes, standing instructions and holiday file have been properly created / updated? | | |
| 16.2 | Whether interest tables have been updated? | | |
| 16.3 | Whether slab rates have been up dated? | | |
| 16.4 | If yes, whether checked by officer & record to that effect has been kept? | | |
| 16.5 | Whether any changes in the data such as DP, special instruction etc. are authenticated by branch officials and record to that effect is kept? | | |
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| 17.0 | Registers: | | |
| 17.1 | Whether following registers are maintained & if yes, whether up to date? | Whether maintained? | Whether up to date? |
| ➤ | Dead stock register for computers | | |
| ➤ | Back up register | | |
| ➤ | Back up movement register | | |
| ➤ | Hardware problems register | | |
| ➤ | Software problems register | | |
| ➤ | Due date diary for AMC | | |
| ➤ | Software release updating register | | |
| ➤ | Visit register for AMC personnel | | |

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| ➤ | Power failure register | | | | |
| ➤ | User register | | | | |
| ➤ | Computer data change register | | | | |
| ➤ | Register of computer consumables such as floppies, cartridges, tapes, ribbons, printed stationery etc. | | | | |
| ➤ | Register of destroyed floppies | | | | |
| ➤ | Password Issue | | | | |
| ➤ | Password Changes | | | | |
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| 18.0 | Print outs: | | | | |
| 18.1 | Whether following print outs are taken, checked, signed and filed properly? | Print outs | Check ing | Signi ng | Filing |
| ➤ | Day book | | | | |
| ➤ | Scroll | | | | |
| ➤ | Supplementary -Cash | | | | |
| ➤ | Supplementary - Clearing | | | | |
| ➤ | Supplementary - Transfer | | | | |
| ➤ | Trial balance | | | | |
| ➤ | Balancing statements | | | | |
| ➤ | Debit balance report | | | | |
| ➤ | Exception transaction report | | | | |
| ➤ | All O. K. Statement | | | | |
| ➤ | General ledger | | | | |
| ➤ | Loan ledger | | | | |
| ➤ | Deposit ledger | | | | |
| ➤ | Parameter file print out | | | | |
| ➤ | Master file print out | | | | |
| ➤ | Account opening, Closing, modification (relevant master) | | | | |
| ➤ | Audit trail print out | | | | |
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| 18.2 | Whether prescribed reports are printed regularly? | | | | |
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| 19.0 | Scanning: | | | | |
| 19.1 | Whether signature are scanned & authorized regularly? | | | | |
| | | SB | CD | CC/OD | TDR |
| | Running account number | | | | |
| | Signature scanned up to | | | | |
| | Confirmed up to | | | | |
| 19.2 | Whether scanned signatures of dormant account are deleted? | | | | |
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| 20.0 | Miscellaneous: | |
| 20.1 | Whether staff working on computers is rotated on regular basis? | |
| 20.2 | Whether stamp is affixed on cheques, credit slips, withdrawal slips, vouchers etc. indicating transaction number, scroll number and initials of operating staff? | |
| 20.3 | Whether consumables are kept under lock & key? | |
| 20.4 | Whether consumables are inspected periodically? | |
| 20.5 | If yes, date of last inspection | |
| 20.6 | Whether internet connection has been provided? | |
| 20.7 | If yes, how control is exercised on its usage? | |
| 20.8 | Details of time utilized since April | |
| 20.9 | Whether all users' manuals have been numbered & entered in Register to monitor the movement? | |
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| 21.0 | Review of ATM Operations: | Refer separate Report |
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| 22.0 | Rating: | |
| | | High Risk / Medium Risk / Low Risk |
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| 23.0 | Major Irregularities requiring urgent attention: | |
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| Signature | | | |
| Name | | | |
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