BYJU'S

Compliance Report

AWS RBI MD-ITF

Project

PingSafe Demo

Issuer

Soumik Sur

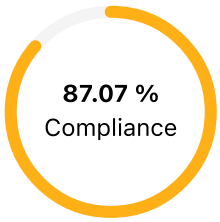
Date created

2022-09-28T07:25:30.809Z

Cloud Account

aws test aws test

Overview



28
Required Plugins

162
Mapped Plugins

Name	Compliance Posture	Passed check
3. Information Security	49.60%	3 of 5
6. Business Continuity Planning (BCP) and Disaster Recovery	55.56%	1 of 2
8. It is recommended that smaller NBFCs may start with developing basic IT systems mainly for maintaining the database.	92.89%	4 of 10
4.4. NBFCs may put in place MIS that assist the Top Management as well as the business heads in decision making and also to maintain an oversight over operations of various business verticals. With robust IT systems in place, NBFCs may have the following as part of an effective system generated MIS (indicative list).	27.27%	1 of 3

3. Information Security

5
Required Plugins

55
Mapped Plugins

Sub Category	Compliance Posture	Passed check
3.1. The IS Policy must provide for a IS framework with the following basic tenets:	47.74%	4 of 9
a. Identification and Classification of Information Assets	66.67%	Fail
aws Unused Elastic Block Store Volumes Low Pass 10 Fail 3	76.92%	Fail
aws ECR Repository Tag Immutability Low Pass 0 Fail 2	0.00%	Fail
b. Segregation of functions	0%	N/A
c. Role based Access Control	69.03%	Fail
aws Access Keys Not Rotated High Pass 31 Fail 5	86.11%	Fail
aws Groups Without Users Low Pass 0 Fail 0	0%	No Resources
aws Role With Inline Policies Low Pass 76 Fail 8	90.48%	Fail
aws User With Inline Policies Low Pass 29 Fail 3	90.63%	Fail

Sub Category	Compliance Posture	Passed check
Group With Inline Policies Low • Pass 0 • Fail 0	0%	No Resources
Password Policy Not Set Medium • Pass 0 • Fail 4	0.00%	Fail
Password Policy Missing 'Require Lowercase' Medium • Pass 0 • Fail 0	0%	No Resources
Password Policy Missing 'Require Uppercase' Medium • Pass 0 • Fail 0	0%	No Resources
Password Policy Missing 'Require Numbers' Medium • Pass 0 • Fail 0	0%	No Resources
Password Policy Missing 'Require Symbols' Medium • Pass 0 • Fail 0	0%	No Resources
No Policy to Allow Users To Change Password Medium • Pass 0 • Fail 0	0%	No Resources
Insecure Password Reuse Prevention Medium • Pass 0 • Fail 0	0%	No Resources
Insecure Password Expiration Medium • Pass 0 • Fail 0	0%	No Resources
Weak Password Policy 'Minimum Password Length' Medium • Pass 0 • Fail 0	0%	No Resources
Insecure Role Policies Low • Pass 59 • Fail 25	70.24%	Fail
Root Access Keys Exist High • Pass 4 • Fail 0	100.00%	Pass
Users MFA Disabled Medium • Pass 0 • Fail 31	0.00%	Fail

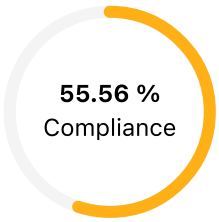
Sub Category	Compliance Posture	Passed check
aws Root MFA Disabled High • Pass 0 • Fail 4	0.00%	Fail
aws Directly Attached User IAM Policies Low • Pass 9 • Fail 23	28.13%	Fail
aws Inactive Users High • Pass 19 • Fail 1	95.00%	Fail
aws Unused Access Keys High • Pass 36 • Fail 0	100.00%	Pass
aws Missing Hardware MFA For Root Account Medium • Pass 0 • Fail 4	0.00%	Fail
aws Instances Without IAM Role Medium • Pass 0 • Fail 10	0.00%	Fail
d. Personnel Security	0%	N/A
e. Physical Security	0%	N/A
f. Maker-checker	0%	N/A
▾ g. Incident Management	0.00%	Fail
aws ELB WAF Disabled Low • Pass 0 • Fail 1	0.00%	Fail
▾ h. Trails	4.19%	Fail
aws CloudWatch Logs Missing For API Gateway Medium • Pass 0 • Fail 2	0.00%	Fail
aws CloudTrail CloudWatch Integration Disabled Medium • Pass 0 • Fail 1	0.00%	Fail

Sub Category	Compliance Posture	Passed check
ElasticSearch Logging Disabled Medium • Pass 0 • Fail 2	0.00%	Fail
Redshift Cluster Audit Logging Disabled Medium • Pass 0 • Fail 1	0.00%	Fail
CloudTrail Logging Disabled High • Pass 0 • Fail 51	0.00%	Fail
CloudTrail Data Events Disabled Medium • Pass 1 • Fail 0	100.00%	Pass
Low CloudWatch Log Retention Period Low • Pass 3 • Fail 3	50.00%	Fail
ELB Logging Disabled Medium • Pass 0 • Fail 1	0.00%	Fail
RDS Logging Disabled Medium • Pass 0 • Fail 4	0.00%	Fail
S3 Bucket Logging Disabled Medium • Pass 0 • Fail 22	0.00%	Fail
VPC Flow Logs Not Enabled Medium • Pass 2 • Fail 73	2.67%	Fail
Redshift Encryption Disabled Medium • Pass 1 • Fail 0	100.00%	Pass
Redshift Undesired Node Type High • Pass 0 • Fail 0	0%	No Resources
▾ i. Public Key Infrastructure (PKI)	15.15%	Fail
Upcoming ACM Certificates Expiry That Are Attached To AWS Resources Medium • Pass 1 • Fail 0	100.00%	Pass
Upcoming ACM Certificates Expiry That Are Dangling Low • Pass 1 • Fail 0	100.00%	Pass

Sub Category	Compliance Posture	Passed check
ACM Expired Certificates For Attached AWS Resources High • Pass 1 • Fail 0	100.00%	Pass
ACM Expired Certificates That Are Dangling Medium • Pass 1 • Fail 0	100.00%	Pass
ELB Non HTTPS Listeners Low • Pass 0 • Fail 1	0.00%	Fail
Missing API Gateway Client Certificate Low • Pass 0 • Fail 2	0.00%	Fail
ElasticSearch HTTPS Only Disabled Medium • Pass 0 • Fail 2	0.00%	Fail
ELB Without SSL Termination Medium • Pass 0 • Fail 1	0.00%	Fail
Redshift Parameter Group SSL Required Low • Pass 0 • Fail 1	0.00%	Fail
S3 Bucket Allowing Http Request Medium • Pass 1 • Fail 21	4.55%	Fail
3.3. Vulnerability Management	87.50%	Fail
AWS ElasticBeanstalk Managed Platform Updates Not Configured Low • Pass 0 • Fail 0	0%	No Resources
RDS DocumentDB Minor Version Upgrade Disabled Low • Pass 4 • Fail 0	100.00%	Pass
Redshift Cluster Version Upgrade Disabled Low • Pass 0 • Fail 1	0.00%	Fail
Redshift Automated Snapshot Retention Period Not Set Medium • Pass 0 • Fail 1	0.00%	Fail

Sub Category	Compliance Posture	Passed check
aws SSM Agent Not Installed Medium • Pass 10 • Fail 0	100.00%	Pass
3.5. Cyber Crisis Management Plan	100.00%	Pass
aws SSM Agent Not Installed Medium • Pass 10 • Fail 0	100.00%	Pass
3.9. IT Risk Assessment	0%	N/A
3.12. Training	0%	N/A

6. Business Continuity Planning (BCP) and Disaster Recovery

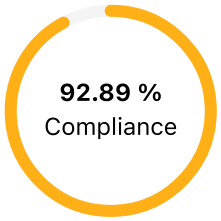


2
Required Plugins

4
Mapped Plugins

Sub Category	Compliance Posture	Passed check
6.3. NBFCs shall consider the need to put in place necessary backup sites for their critical business systems and Data centers.	55.56%	Fail
aws KMS Key Rotation Disabled Medium • Pass 0 • Fail 0	0%	No Resources
aws RDS Automated Backups Disabled Medium • Pass 3 • Fail 1	75.00%	Fail
aws RDS Automated Backups Low Retention Medium • Pass 2 • Fail 2	50.00%	Fail
aws Redshift Automated Snapshot Retention Period Not Set Medium • Pass 0 • Fail 1	0.00%	Fail
6.4. NBFCs shall test the BCP either annually or when significant IT or business changes take place to determine if the entity could be recovered to an acceptable level of business within the timeframe stated in the contingency plan. The test should be based on 'worst case scenarios'. The results along with the gap analysis may be placed before the CIO and the Board. The GAP Analysis along with Board's insight should form the basis for construction of the updated BCP.	0%	N/A

8. It is recommended that smaller NBFCs may start with developing basic IT systems mainly for maintaining the database.



10
Required Plugins

97
Mapped Plugins

Sub Category	Compliance Posture	Passed check
1. IT Systems should be progressively scaled up as the size and complexity of NBFC's operations increases.	27.27%	Fail
ELB Cross-Zone Load Balancing Disabled Low • Pass 0 • Fail 1	0.00%	Fail
ELB Deletion Protection Not Configured Medium • Pass 0 • Fail 1	0.00%	Fail
RDS Deletion Protection Disabled High • Pass 0 • Fail 4	0.00%	Fail
RDS Multiple AZ Disabled Low • Pass 2 • Fail 2	50.00%	Fail
Down VPN Tunnels Low • Pass 0 • Fail 0	0%	No Resources
ELB Health Check Inactive Low • Pass 1 • Fail 0	100.00%	Pass
ii. Basic security aspects such as physical/ logical access controls and well defined password policy;	94.89%	Fail
S3 Bucket All Users Policy Critical • Pass 3 • Fail 0	100.00%	Pass

Sub Category	Compliance Posture	Passed check
DMS Public Replication Instance High • Pass 0 • Fail 0	0%	No Resources
Insecure Amazon Elastic Block Store Snapshots Permissions High • Pass 0 • Fail 0	0%	No Resources
Public EC2 Instances Low • Pass 3 • Fail 7	30.00%	Fail
ElasticSearch Domains Without VPC Medium • Pass 2 • Fail 0	100.00%	Pass
Lambda Public Access High • Pass 3 • Fail 3	50.00%	Fail
Lambda Without VPC Medium • Pass 9 • Fail 0	100.00%	Pass
RDS Publicly Accessible Critical • Pass 3 • Fail 1	75.00%	Fail
RDS Snapshot Publicly Accessible High • Pass 12 • Fail 0	100.00%	Pass
Redshift Publicly Accessible Critical • Pass 1 • Fail 0	100.00%	Pass
All Ports Open to Public High • Pass 116 • Fail 2	98.31%	Fail
Open Cassandra Critical • Pass 116 • Fail 2	98.31%	Fail
Open CIFS Critical • Pass 118 • Fail 0	100.00%	Pass
Open DNS High • Pass 116 • Fail 2	98.31%	Fail
Open Docker Critical • Pass 116 • Fail 2	98.31%	Fail

Sub Category	Compliance Posture	Passed check
Open Elasticsearch Critical • Pass 116 • Fail 2	98.31%	Fail
Open FTP Critical • Pass 116 • Fail 2	98.31%	Fail
Open Hadoop HDFS NameNode Metadata Service Critical • Pass 0 • Fail 0	0%	No Resources
Open Hadoop HDFS NameNode WebUI Critical • Pass 116 • Fail 2	98.31%	Fail
Open Kibana Critical • Pass 116 • Fail 2	98.31%	Fail
Open Mongo Critical • Pass 116 • Fail 2	98.31%	Fail
Open MsSQL Critical • Pass 116 • Fail 2	98.31%	Fail
Open MySQL Critical • Pass 116 • Fail 2	98.31%	Fail
Open NetBIOS Critical • Pass 116 • Fail 2	98.31%	Fail
Open Oracle Critical • Pass 116 • Fail 2	98.31%	Fail
Open Oracle Auto Data Warehouse Critical • Pass 116 • Fail 2	98.31%	Fail
Open PostgreSQL Critical • Pass 116 • Fail 2	98.31%	Fail
Open RDP Critical • Pass 116 • Fail 2	98.31%	Fail
Open Redis Critical • Pass 116 • Fail 2	98.31%	Fail

Sub Category	Compliance Posture	Passed check
Restricted Ports Open to Public High • Pass 114 • Fail 4	96.61%	Fail
Open RPC Critical • Pass 116 • Fail 2	98.31%	Fail
Open Salt Critical • Pass 116 • Fail 2	98.31%	Fail
Open SMBoTCP Critical • Pass 116 • Fail 2	98.31%	Fail
Open SMTP Critical • Pass 116 • Fail 2	98.31%	Fail
Open SQL Server Critical • Pass 116 • Fail 2	98.31%	Fail
Open SSH Critical • Pass 114 • Fail 4	96.61%	Fail
Open Telnet Critical • Pass 116 • Fail 2	98.31%	Fail
Open VNC Client Critical • Pass 116 • Fail 2	98.31%	Fail
Open VNC Server Critical • Pass 116 • Fail 2	98.31%	Fail
S3 Bucket Insecure Read Access Critical • Pass 11 • Fail 1	91.67%	Fail
S3 Bucket Insecure Write Access Critical • Pass 8 • Fail 4	66.67%	Fail
Notebook Instance Not Placed In VPC Medium • Pass 0 • Fail 0	0%	No Resources
Notebook Instance publicly Accessible Critical • Pass 0 • Fail 0	0%	No Resources

Sub Category	Compliance Posture	Passed check
Default Security Groups In Use Medium • Pass 74 • Fail 1	98.67%	Fail
Access Keys Not Rotated High • Pass 31 • Fail 5	86.11%	Fail
Groups Without Users Low • Pass 0 • Fail 0	0%	No Resources
Group With Inline Policies Low • Pass 0 • Fail 0	0%	No Resources
Role With Inline Policies Low • Pass 76 • Fail 8	90.48%	Fail
User With Inline Policies Low • Pass 29 • Fail 3	90.63%	Fail
Insecure Password Reuse Prevention Medium • Pass 0 • Fail 0	0%	No Resources
No Policy to Allow Users To Change Password Medium • Pass 0 • Fail 0	0%	No Resources
Password Policy Missing 'Require Uppercase' Medium • Pass 0 • Fail 0	0%	No Resources
Password Policy Missing 'Require Symbols' Medium • Pass 0 • Fail 0	0%	No Resources
Password Policy Missing 'Require Numbers' Medium • Pass 0 • Fail 0	0%	No Resources
Password Policy Missing 'Require Lowercase' Medium • Pass 0 • Fail 0	0%	No Resources
Password Policy Not Set Medium • Pass 0 • Fail 4	0.00%	Fail

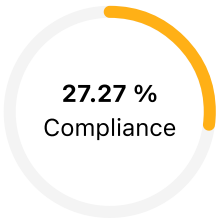
Sub Category	Compliance Posture	Passed check
Insecure Password Expiration Medium • Pass 0 • Fail 0	0%	No Resources
Weak Password Policy 'Minimum Password Length' Medium • Pass 0 • Fail 0	0%	No Resources
Instances Without IAM Role Medium • Pass 0 • Fail 10	0.00%	Fail
Root Access Keys Exist High • Pass 4 • Fail 0	100.00%	Pass
Insecure Role Policies Low • Pass 59 • Fail 25	70.24%	Fail
Users MFA Disabled Medium • Pass 0 • Fail 31	0.00%	Fail
No IAM Role with Support Policy Low • Pass 1 • Fail 3	25.00%	Fail
Directly Attached User IAM Policies Low • Pass 9 • Fail 23	28.13%	Fail
Unused Access Keys High • Pass 36 • Fail 0	100.00%	Pass
Inactive Users High • Pass 19 • Fail 1	95.00%	Fail
Missing Hardware MFA For Root Account Medium • Pass 0 • Fail 4	0.00%	Fail
Root MFA Disabled High • Pass 0 • Fail 4	0.00%	Fail
ElasticSearch Global Access High • Pass 2 • Fail 0	100.00%	Pass
ii. A well-defined user role;	77.36%	Fail

Sub Category	Compliance Posture	Passed check
Groups Without Users Low Pass 0 Fail 0	0%	No Resources
User With Inline Policies Low Pass 29 Fail 3	90.63%	Fail
Role With Inline Policies Low Pass 76 Fail 8	90.48%	Fail
Group With Inline Policies Low Pass 0 Fail 0	0%	No Resources
Insecure Password Reuse Prevention Medium Pass 0 Fail 0	0%	No Resources
No Policy to Allow Users To Change Password Medium Pass 0 Fail 0	0%	No Resources
Password Policy Missing 'Require Uppercase' Medium Pass 0 Fail 0	0%	No Resources
Password Policy Missing 'Require Symbols' Medium Pass 0 Fail 0	0%	No Resources
Password Policy Missing 'Require Numbers' Medium Pass 0 Fail 0	0%	No Resources
Password Policy Missing 'Require Lowercase' Medium Pass 0 Fail 0	0%	No Resources
Password Policy Not Set Medium Pass 0 Fail 4	0.00%	Fail
Insecure Password Expiration Medium Pass 0 Fail 0	0%	No Resources
Weak Password Policy 'Minimum Password Length' Medium Pass 0 Fail 0	0%	No Resources

Sub Category	Compliance Posture	Passed check
aws Insecure Role Policies Low • Pass 59 • Fail 25	70.24%	Fail
aws No IAM Role with Support Policy Low • Pass 1 • Fail 3	25.00%	Fail
aws Directly Attached User IAM Policies Low • Pass 9 • Fail 23	28.13%	Fail
aws Inactive Users High • Pass 19 • Fail 1	95.00%	Fail
aws Unused Access Keys High • Pass 36 • Fail 0	100.00%	Pass
iii. A Maker-checker concept to reduce the risk of error and misuse and to ensure reliability of data/information;	0.00%	Fail
aws S3 Bucket Versioning Disabled Low • Pass 0 • Fail 22	0.00%	Fail
iv. Information Security and Cyber Security;	0%	N/A
v. Requirements as regards Mobile Financial Services, Social Media and Digital Signature Certificates as indicated in para 3.18, 3.10 & 3.11 above;	0%	N/A
vi. System generated reports for Top Management summarising financial position including operating and non-operating revenues and expenses, cost benefit analysis of segments/verticals, cost of funds, etc.;	0%	N/A
vii. Adequacy to file regulatory returns to RBI (COSMOS Returns);	0%	N/A
viii. A BCP policy duly approved by the Board ensuring regular oversight of the Board by way of periodic reports (at least once every year);	0%	N/A
ix. Arrangement for backup of data with periodic testing.	55.56%	Fail

Sub Category	Compliance Posture	Passed check
RDS Automated Backups Low Retention Medium • Pass 2 • Fail 2	50.00%	Fail
RDS Automated Backups Disabled Medium • Pass 3 • Fail 1	75.00%	Fail
Redshift Automated Snapshot Retention Period Not Set Medium • Pass 0 • Fail 1	0.00%	Fail

4.4. NBFCs may put in place MIS that assist the Top Management as well as the business heads in decision making and also to maintain an oversight over operations of various business verticals. With robust IT systems in place, NBFCs may have the following as part of an effective system generated MIS (indicative list).



3
Required Plugins

6
Mapped Plugins

Sub Category	Compliance Posture	Passed check
g. Fraud analysis- Suspicious transaction analysis, embezzlement, theft or suspected money-laundering, misappropriation of assets, manipulation of financial records etc. The regulatory requirement of reporting fraud to RBI should be system driven.	0%	N/A
h. Capacity and performance analysis of IT security systems.	27.27%	Fail
aws ELB Cross-Zone Load Balancing Disabled Low Pass 0 Fail 1	0.00%	Fail
aws ELB Deletion Protection Not Configured Medium Pass 0 Fail 1	0.00%	Fail
aws RDS Deletion Protection Disabled High Pass 0 Fail 4	0.00%	Fail
aws RDS Multiple AZ Disabled Low Pass 2 Fail 2	50.00%	Fail
aws Down VPN Tunnels Low Pass 0 Fail 0	0%	No Resources
aws ELB Health Check Inactive Low Pass 1 Fail 0	100.00%	Pass

Sub Category	Compliance Posture	Passed check
i. Incident reporting, their impact and steps taken for non -recurrence of such events in the future.	0%	N/A