

# Process Review Audit Checksheet

|                       |                   |                       |            |
|-----------------------|-------------------|-----------------------|------------|
| Bank Name             |                   | Demo Client           |            |
| Process Review Period | Jul'25            | Process Review Agency |            |
| Agency Name           | ZIPLINE SOLUTIONS | Agency Location       | RAIPUR     |
| Product               | Two-Wheeler Loan  | Audit Date            | 01-07-2025 |

## Parameters

| Parameter          | Sub-Parameter   | Status       | Remarks |
|--------------------|---|--------------|---------|
| AGENCY MANAGEMENT  |   |              |         |
|                    | <i>Name Board of The Collection Agency With Complete Address</i>  | Satisfactory |         |
|                    | <i>Agency Location Address Matches With The CVMU Tracker</i>  | Satisfactory |         |
|                    | <i>Copy of Active Agreement Between Collection Agency with Bank (upto date Penalty Metrics, Scope of work , COC to be checked)</i>                | Satisfactory |         |
|                    | <i>Workstation Is Used Exclusively For Bank Activities</i>  | Satisfactory |         |
|                    | <i>Fire Extinguisher With Active Validity is Available in The Premises</i>  | Satisfactory |         |
| PROCESS MANAGEMENT |   |              |         |
|                    | <i>Data Sharing Apps, Social Media Portals, Etc. Are Blocked (Facebook / Instagram / Whatsapp / Shareit / Shareme / Sharekaro /Any desk Etc.)</i> | Satisfactory |         |
|                    | <i>Agency Performance Letter Printed On Agency Letter Head</i>  | Satisfactory |         |
|                    | <i>NDC Printed On Agency Letter Head</i>  | Satisfactory |         |

| Parameter                  | Sub-Parameter  | Status       | Remarks |
|----------------------------|--|--------------|---------|
| INFOSEC<br>MANAGEMENT      |  |              |         |
|                            | <i>Windows10 &amp; Winzip-9 Or Above Versions Are Installed</i>  | Satisfactory |         |
|                            | <i>Email Communications Via Domain Email Ids Only &amp; The Same Are Registered With The CVMU Team</i>   | Satisfactory |         |
|                            | <i>Firewall (Antivirus, Netprotector,Etc.) Is Installed</i>  | Satisfactory |         |
| TELE-CALLING<br>MANAGEMENT |  |              |         |
|                            | <i>All Tele-Callers Cellphones Are Prohibited On Floor. (Tele-calling Agency)(Mention the reason with product name (Cards/Retail/MSME) in remarks if UNSATISFACTORY)</i> | Satisfactory |         |
|                            | <i>Dialers &amp; Call Recording Facilities Are Installed And Operational (Tele-Calling Agency)</i>   | Satisfactory |         |
|                            | <i>Call Recordings Of The Last 6 Months Are Preserved At The Agency</i>  | Satisfactory |         |
| CASH RISK<br>MANAGEMENT    |  |              |         |
|                            | <i>Cash / Cheque Deposition Within 48 Hours Of Receipt cut and deposition steps to be completed on Mobicule</i>  | Satisfactory |         |
|                            | <i>Lock And Key Storage Facility Available At The Agency</i>   | Satisfactory |         |