Audit Report for Audit ID - AU0082-4

BPM Audit Report for IT Department

Audit Score

92/100

Details

Audit	AU0082
Scheduled Audit	AU0082-4
Location	Chennai
Hotel	GreenPark Hotel- GPC
Department	BPM-IT
Checklist	BPM Audit Report for IT Department
Audit Type	Internal
Auditor	Venkat A
Start Date	01-07-2019
End Date	31-07-2019
Submitted Date	30-07-2019
Status	Completed
Assigned By	Administrator Account
Non-Compliance	13
Chronic Issues	4

Comparison

GREENPARK HOTEL- GPC BPM AUDIT REPORT FOR IT DEPARTMENT				
BPM AUDIT REPORT FOR IT DEPARTMENT		Jan 2019	Jul 2019	**VARIANCE**	**% of Increase / Decrease (-/ +)**
S.No	Sections	SCORE OBTAINED	SCORE OBTAINED		
1	Critical Tasks	97	84	-13	-13.4%
2	IT intiatives	90	85	-5	-5.56%
3	Server Maintenance	90	84	-6	-6.67%
4	Computer Hardware Printers & Switches	100	95	-5	-5%
5	EPABX Telephones and Mobiles	89	89	0	0%
6	Internet WIFI	93	97	4	4.3%
7	Software Audit	100	96	-4	-4%
8	Network Security	91	97	6	6.59%
9	Business Applications	96	92	-4	-4.17%
10	CCTV	96	95	-1	-1.04%
11	AMC & Insurance	100	100	0	0%
12	Documentation and Others	81	88	7	8.64%
Audit Score		● 94	● 92	-2	-2.13%

⬆	**80-100 = Green**	**Good / Excellent**
⬆	**61-79 = Yellow**	**Average**
⬇	**60 below is Red**	**Poor / Fair**

Non-Compliance

Section: Critical Tasks
Subsection: Important Tasks

1: PMS Manual DB backup at 10am on separate PC   **NC**
   Rating: 0

2: Monthly back up of Fire Wall configuration   **NC**
   Rating: 0
Attachments :
   QUE14_IMG_20190730_152844.jpg

Observation Text :
Not taking monthly

Section: IT intiatives
Subsection: IT initiatives

1: Passport scanner integration working .   **NC**
   Rating: 0

Observation Text :
Not using

2: Guest Room key card interface to PMS.   **NC**
   Rating: 0

Observation Text :
Not implemented

Section: IT intiatives
Subsection: Data Transfer

1: Daily P&L account.   **NC**
   Rating: 0

Observation Text :
Not being used

2: Online Liquor inventory.   **NC**
   Rating: 0

Observation Text :
Not using

Section: Server Maintenance
Subsection: Server Maintenance

1: Regular checking for RAID Alarms   **NC**
   Rating: 0

Observation Text :

Not observing

2: Rack maintained well - Dust free   **NC**
   Rating: 6
   Attachments :
     QUE55_IMG_20190729_172150.jpg

   Observation Text :
   Not maintaining well

3: Switch Maintenance at Server room   **NC**
   Rating: 7

   Observation Text :
   Not maintaining well

4: All cables dressed properly and identified   **NC**
   Rating: 7

   Observation Text :
   Not dressed properly

Section: EPABX Telephones and Mobiles
Subsection: EPABX

1: Head phones functioning.   **NC**
   Rating: 0

   Observation Text :
   Not using

Section: Business Applications
Subsection: PMS software

1: Usages of Privilege cards maintained on Monthly Basis.   **NC**
   Rating: 0

   Observation Text :
   Not maintaining

Section: Documentation and Others
Subsection: Quarterly Checklist

1: Change all your passwords   **NC**
   Rating: 7

   Observation Text :
   Not happening regularly.

Chronic

Section: IT intiatives
Subsection: IT initiatives

    1: Passport scanner integration working .   **NC**
       Rating: 0

     Observation Text :
     Not using

    2: Guest Room key card interface to PMS.   **NC**
       Rating: 0

     Observation Text :
     Not implemented

Section: IT intiatives
Subsection: Data Transfer

    1: Online Liquor inventory.   **NC**
       Rating: 0

     Observation Text :
     Not using

Section: EPABX Telephones and Mobiles
Subsection: EPABX

    1: Head phones functioning.   **NC**
       Rating: 0

     Observation Text :
     Not using

Audit Questionnaire

Section: Critical Tasks
Subsection: Important Tasks

1: PMS Back up scheduled for every 6 hours
    Rating: 10
  Attachments :
    QUE1_IMG_20190729_161038.jpg
    QUE1_IMG_20190729_161049.jpg

2: PMS Manual DB backup at 10am on separate PC   **NC**
    Rating: 0

3: PMS MONTHLY BACKUP ON MEDIA stored at Finance Fire Proof Safe
    Rating: 10

4: PMS MONTHLY BACKUP ON MEDIA stored at Unit Head Office
    Rating: 10

5: PMS MONTHLY BACKUP ON MEDIA stored at IT Department
    Rating: 10
  Attachments :
    QUE5_IMG_20190729_161121.jpg

6: Loading latest security patches on server
    Rating: 10
  Attachments :
    QUE6_IMG_20190729_161156.jpg

7: Daily downloading of latest Antivirus SUPERDAT file
    Rating: 10

  Observation Text :
  Automatically Updates

8: Fire Wall Policy as per our policy for server / others
    Rating: 9

9: PMS INS Yearly data on Media
    Rating: 9

10: Pen drives blocked on all Systems   ☑ Not Applicable

11: Internet access to users as per our policy
    Rating: 8

12: EPABX OS - back up once in a month
    Rating: 10

Attachments :
   QUE12_IMG_20190729_161225.jpg

13:   EPABX Preventive once in 6 months
      Rating: 10

14:   Monthly back up of Fire Wall configuration   **NC**
      Rating: 0
   Attachments :
      QUE14_IMG_20190730_152844.jpg

   Observation Text :
   Not taking monthly

15:   Monthly back up of FAMS, SAL TDS & TDS pack
      Rating: 9

16:   Monthly Audit of website for proper functioning
      Rating: 10

17:   Mail Alert for IP camera working
      Rating: 10
   Attachments :
      QUE17_IMG_20190729_161301.jpg

Section: IT intiatives
Subsection: IT initiatives

1:   Guest Photo Check-in
      Rating: 10
   Attachments :
      QUE18_IMG_20190729_161318.jpg

2:   Passport scanner integration working .   **NC**
      Rating: 0

   Observation Text :
   Not using

3:   SMS of Internet password to Guest on Check-in.
      Rating: 10
   Attachments :
      QUE20_IMG_20190729_161413.jpg

4:   Guest Room key card interface to PMS.   **NC**
      Rating: 0

   Observation Text :
   Not implemented

5:   Airport Pickup Software - Zoop.
      Rating: 10

Attachments :
QUE22_IMG_20190729_161519.jpg

6: Room Survey on TAB from guest while Check-out.
Rating: 10
Attachments :
QUE23_IMG_20190729_162001.jpg

7: Voice logger working .
Rating: 10

8: I-Alert - message working and usage.
Rating: 10
Attachments :
QUE25_IMG_20190729_162047.jpg

9: SKYRES- call center software functioning and usage.
Rating: 10

10: online Entry of KOT for buffets using TABS. ☑ Not Applicable

11: F&B Surveys on TABS from guest in outlets.
Rating: 10
Attachments :
QUE28_IMG_20190729_162136.jpg

12: Usage of Happy hours.
Rating: 10

13: Banquet billing with transfer from FP.
Rating: 10

14: Banquet Advance Tagging for reservation
Rating: 10
Attachments :
QUE31_IMG_20190729_162159.jpg

15: Requirement entry edit restrict after printing FP.
Rating: 10

Section: IT intiatives
Subsection: Data Transfer

1: Sales Force Data Transfer to PMS and PMS to SF.
Rating: 8

Observation Text :
Salesforce Booking conformation notification not working

2: SKYRES booking transfers.
Rating: 10

Attachments :
   QUE34_IMG_20190729_162234.jpg

3: Regular updation of Intranet.
   Rating: 8

4: Visitor Management System functioning.
   Rating: 9

5: Vendor Tracking System.
   Rating: 10

6: Daily P&L account.   **NC**
   Rating: 0

   Observation Text :
   Not being used

7: Online Liquor inventory.   **NC**
   Rating: 0

   Observation Text :
   Not using

8: Purchase indent authorization online .
   Rating: 10

9: Purchase Requisition authorization online - 2 levels.
   Rating: 10
   Attachments :
   QUE41_IMG_20190729_155521.jpg

10: PO authorization online - 3 levels.
   Rating: 10
   Attachments :
   QUE42_IMG_20190729_155533.jpg

11: PO PDF mail.
   Rating: 8

12: ANPR system working status.
   Rating: 10
   Attachments :
   QUE44_IMG_20190729_155604.jpg

13: Mobile provided for Task Manager Working.
   Rating: 10

14: IP Camera at - Receiving.
   Rating: 10
   Attachments :

QUE46_IMG_20190729_174713.jpg

15: IP Camera at - Banquets Plate wash.
   Rating: 10

16: IP Camera at - Banquets Plate Issue Area.
   Rating: 9

17: Weighing scale auto capture of weight.
   Rating: 10
 Attachments :
   QUE49_IMG_20190729_174830.jpg

18: Capture of Photo while receiving.
   Rating: 10
 Attachments :
   QUE50_IMG_20190729_155633.jpg

Section: Server Maintenance
Subsection: Server Maintenance

1: Regular Monitoring of Event logs
   Rating: 9
 Attachments :
   QUE51_IMG_20190729_155649.jpg

2: Regular checking for RAID Alarms   **NC**
   Rating: 0

 Observation Text :
 Not observing

3: Regular checking for hardware errors
   Rating: 8

4: Daily Monitoring of SQL Sever logs
   Rating: 9

5: Rack maintained well - Dust free   **NC**
   Rating: 6
 Attachments :
   QUE55_IMG_20190729_172150.jpg

 Observation Text :
 Not maintaining well

6: Switch Maintenance at Server room   **NC**
   Rating: 7

 Observation Text :
 Not maintaining well

7:   All patch chords labeled
     Rating: 8
   Attachments :
     QUE57_IMG_20190729_172624.jpg

8:   All cables dressed properly and identified   **NC**
     Rating: 7

   Observation Text :
   Not dressed properly

9:   Power sockets check   ☑ Not Applicable

10: Server UPS working condition
     Rating: 10

11: Earthing working properly   ☑ Not Applicable

12: Regular check of disk usage
     Rating: 9

13: Removing un-necessary files /data
     Rating: 8

14: Review of user accounts and clean up   ☑ Not Applicable

15: Loading of latest security patches
     Rating: 10
   Attachments :
     QUE65_IMG_20190729_155713.jpg

16: Disable of un-necessary services
     Rating: 9

17: Anti virus policy for server
     Rating: 10

18: Fire wall policy for server
     Rating: 10

19: Checking for memory utilisation
     Rating: 8

20: Server room temperature below 24 degrees
     Rating: 10

21: User accounts and policies
     Rating: 10

22: Deletion of not in use DB's after backup

Rating: 9

23: Admin account restrict from remote login ☑ Not Applicable

24: Don't share the folders except PMS Folder
     Rating: 10

Section: Computer Hardware Printers & Switches
Subsection: Computers

1: Following the local user access procedure ☑ Not Applicable

2: Regularly taking the computers data backup
    Rating: 9

3: Monitoring the computers hard drives logs
    Rating: 8

4: Licenced softwares only installed
    Rating: 8

5: Maintaing the systems asset management
    Rating: 10
   Attachments :
     QUE79_IMG_20190730_172158.jpg

6: Properly installed the Antivirus
    Rating: 10

7: Computer Internal firewall is enabled
    Rating: 10

8: Computers are Maintained cleanly
    Rating: 9

9: UPS power supply to Computers
    Rating: 10

10: Yearly once doing the clean format ☑ Not Applicable

11: Mail data backup & deletion of unwanted mails ☑ Not Applicable

12: Mailing address book updation
     Rating: 10

Section: Computer Hardware Printers & Switches
Subsection: Printers

1: Regular Servicing of Printers ☑ Not Applicable

2: Laser/ Deskjet refill quality ☑ Not Applicable

Section: Computer Hardware Printers & Switches
Subsection: Switches

1: UPS connections to all switches
    Rating: 10

2: All patch panels and switches are labeled
    Rating: 10
  Attachments :
    QUE90_IMG_20190729_175825.jpg
    QUE90_IMG_20190729_175858.jpg

3: Dressing of cabling
    Rating: 10
  Attachments :
    QUE91_IMG_20190729_175839.jpg

4: Network chart at switch level to identify
    Rating: 10

Section: Computer Hardware Printers & Switches
Subsection: UPS Systems

1: Earthing to UPS power supply ☑ Not Applicable

2: Battery working condition ☑ Not Applicable

3: UPS Load distribution chart updated
    Rating: 10
  Attachments :
    QUE95_IMG_20190729_155741.jpg
    QUE95_IMG_20190729_155747.jpg

4: % of Load on each UPS
    Rating: 9

Section: EPABX Telephones and Mobiles
Subsection: EPABX

1: Separate earthing and working status
    Rating: 10

2: Separate UPS supply and batteries backup
    Rating: 10

3: Telephone consoles functioning
    Rating: 10

4: Head phones functioning. **NC**
    Rating: 0

Observation Text :
Not using

5: Cable from MDF and EPABX dressed properly
     Rating: 8
    Attachments :
       QUE101_IMG_20190730_101049.jpg

    Observation Text :
    To be dressed

6: MDF maintenance
     Rating: 8

7: Network diagram available at MDF
     Rating: 10
    Attachments :
       QUE103_IMG_20190730_154257.jpg

8: PRI card functioning
     Rating: 10

9: Digital Cards functioning -Any faulty ext.
     Rating: 10

10: Analog extensions working -Any faulty ext.
      Rating: 10

11: Working condition of FCBC
      Rating: 10

12: FCBC battery back up
      Rating: 10

13: Analog trunks functioning.
      Rating: 10

Section: EPABX Telephones and Mobiles
Subsection: Telephones

1: Bathroom Phone instrument complaints ☑ Not Applicable

2: Functioning of Digital Phones ☑ Not Applicable

3: Room Phone Instrument complaints ☑ Not Applicable

4: Condition of Room phones ☑ Not Applicable

5: Condition of bathroom phones ☑ Not Applicable

6: Status of standby room phones ☑ Not Applicable

7:   Status of standby Bath room phones   ☑ Not Applicable

Section: EPABX Telephones and Mobiles
Subsection: Mobile Phones

1:   Working condition of phones   ☑ Not Applicable

2:   Not working/Scrapped phones   ☑ Not Applicable

3:   Frequency of repairs   ☑ Not Applicable

4:   CUG Plan utilisation
     Rating: 8

   Observation Text :
   Need to change latest plan

Section: Internet WIFI
Subsection: Wireline Internet

1:   Condition of Wireline Switches   ☑ Not Applicable

2:   Provision for Wireline in Banquets   ☑ Not Applicable

Section: Internet WIFI
Subsection: WIFI

1:   Working of Access points   ☑ Not Applicable

2:   Uninterrupted power supply to Access points   ☑ Not Applicable

3:   Maintenance of Access points and Antennas   ☑ Not Applicable

4:   Signal strength in Public areas   ☑ Not Applicable

5:   Signal strength in Rooms   ☑ Not Applicable

6:   Signal Strength in Banquets   ☑ Not Applicable

Section: Internet WIFI
Subsection: General

1:   No of staff trained on WIFI - Min.-3/month
     Rating: 9

2:   Internet load analysis
     Rating: 10

3:   No.of internet complaints during quarter
     Rating: 10
   Attachments :

QUE131_IMG_20190729_155958.jpg

Section: Software Audit
Subsection: Software Audit

1: Windows Server Licenses - compliance
   Rating: 10

2: SQL server licenses - compliance
   Rating: 10

3: Windows Desktop OS Compliance
   Rating: 10

4: Window CAL compliance
   Rating: 10

5: SQL CAL compliance
   Rating: 10

6: MS office compliance
   Rating: 10

7: Open office usage
   Rating: 10

Section: Software Audit
Subsection: Re-installation Procedure

1: Desktop OS
   Rating: 8

2: MS-Office
   Rating: 8

Section: Network Security
Subsection: Antivirus

1: Regularly updating the antivirus
   Rating: 10
  Attachments :
   QUE141_IMG_20190730_154547.jpg

2: All antivirus software version is same
   Rating: 10

3: All computers On-demand scan working fine
   Rating: 10

4: Regularly checking the On Access Statistics ☑ Not Applicable

5: All computers Access Protection is enabled ☑ Not Applicable

6: All computers Buffer overflow protection is enabled ☑ Not Applicable

7: All computers On-Delivery E Mail Scanner is enabled
      Rating: 10

8: Verify that scheduled scanning is enabled
      Rating: 10

Section: Network Security
Subsection: Firewall

1: Regularly monitoring the Dell Sonic firewall
      Rating: 10

2: New updates and patches are installed
      Rating: 10

3: .exe files are blocked to all computers
      Rating: 10

4: Social network sites blocked to unauthorized users
      Rating: 9

5: Monitor Firewall client VPN connections usage ☑ Not Applicable

6: Monitor -Malicious abnormal activity
      Rating: 8

7: Regular review of logs -VPN -Firewall ☑ Not Applicable

8: Regular review of logs -Routers-IDS-IPS-Firewall ☑ Not Applicable

9: Default deny policy must be installed
      Rating: 10

10: Exemptions on fire wall documented
      Rating: 9

11: Changes documented
      Rating: 10

   Observation Text :
   No changes for last 5 months

Section: Business Applications
Subsection: PMS software

1: Usage of Software
      Rating: 10

2:   De-activation of ID on employee exit
      Rating: 8

   Observation Text :
   No changes

3:   User access rights review
      Rating: 9

4:   Parameter changes during last 3 months
      Rating: 10

   Observation Text :
   No changes

5:   Purging of Guest History
      Rating: 10

6:   Purging of Reservations
      Rating: 10

7:   Purging of Guest Ledger
      Rating: 10

8:   Purging of FO Transaction
      Rating: 8

9:   Online Printing of all FO vouchers through PMS
      Rating: 10

10:   Usages of Privilege cards maintained on Monthly Basis.   **NC**
      Rating: 0

   Observation Text :
   Not maintaining

11:   Touch Screen Interface
      Rating: 10

12:   KDS - Usage (No Manual printing of KOT)
      Rating: 10

13:   Usage of Debtors followup
      Rating: 9

14:   Invoices and Reminder Printing
      Rating: 8

15:   Bank Reconciliation
      Rating: 10

16: Online Voucher print
Rating: 10

17: Cheque printing
Rating: 10

Section: Business Applications
Subsection: FAMS SALTDS and TDS Pack

1: Software backup location defined properly
Rating: 10

2: Weekly tracking backup for 3 softwares ☑ Not Applicable

3: Software Updates are done regularly
Rating: 10

Section: Business Applications
Subsection: Time office Software

1: Machine working properly
Rating: 10

Section: Business Applications
Subsection: HRMS

1: Usage of all online modules
Rating: 10

2: Hire Process Usage ☑ Not Applicable

3: Payroll Usage
Rating: 10

4: Employee Self services
Rating: 10

5: Performance Appraisal
Rating: 10

6: Training ☑ Not Applicable

7: Time Office Integration
Rating: 10

Section: Business Applications
Subsection: Website

1: Regular updation of Website information
Rating: 8

2: Online reservation working status

Rating: 10

Section: Business Applications
Subsection: DMS software

1: Usage of DMS software
   Rating: 10

Section: Business Applications
Subsection: Mailing

1: De-activation of unused mail boxes
   Rating: 8

2: Regular monitoring of SPAM Mails
   Rating: 9

Section: CCTV
Subsection: Vehicle Tracking System

1: Data capturing happening on Server
   Rating: 10

2: Storage of Data Clarity
   Rating: 10

3: Reports working and viewed
   Rating: 10

4: UPS Backup
   Rating: 10

Section: CCTV
Subsection: CCTV

1: Working condition of all cameras
   Rating: 10

2: CCTV server/NVR working condition.
   Rating: 10

3: Clarity of video captured
   Rating: 9

4: Storage of 60 days data
   Rating: 8

   Observation Text :
   DVRS Not maintaining 60 days recording

5: Deletion of unnecessary data
   Rating: 8

6:   Mail alert camera
    Rating: 10

Section: AMC & Insurance
Subsection: Computers AMC

1:   Servers are covered under AMC
    Rating: 10

Section: AMC & Insurance
Subsection: Software AMC

1:   PMS Software in AMC
    Rating: 10
  Attachments :
    QUE204_IMG_20190730_101528.jpg

2:   FAMS - Assets software in AMC
    Rating: 10

3:   Salary TDS pack in AMC
    Rating: 10

4:   Suppliers TDS pack in AMC
    Rating: 10

5:   Time office software in AMC
    Rating: 10

Section: AMC & Insurance
Subsection: EPABX

1:   Epabx in AMC
    Rating: 10
  Attachments :
    QUE209_IMG_20190730_101630.jpg

Section: AMC & Insurance
Subsection: Others

1:   Vehicle recording in AMC
    Rating: 10

  Observation Text :
  Under Warranty

Section: AMC & Insurance
Subsection: Insurance

1:   EPABX
    Rating: 10

2: Passport scanner
    Rating: 10

3: Softwares working with Dongle
    Rating: 10

4: Voice Logger
    Rating: 10

  Observation Text :
  Under Warranty

5: Laptops in Insurance
    Rating: 10

6: Insurance for UPS less than 1 KVA
    Rating: 10

7: CCTV Cameras
    Rating: 10

Section: Documentation and Others
Subsection: SMART updation

1: Data network updated
    Rating: 8

2: Internet Network updated
    Rating: 10

3: Distribution charts of switches updated
    Rating: 10
  Attachments :
    QUE220_IMG_20190730_171207.jpg

4: UPS layout distribution updated
    Rating: 10

5: I.P. configuration chart
    Rating: 10

6: Virus updation chart
    Rating: 10

7: Backup summary chart
    Rating: 8

8: Module attributes
    Rating: 8

9: Data server configuration

Rating: 10

10: CCTV server configuration ☑ Not Applicable

11: Desktop configuration
Rating: 10

Section: Documentation and Others
Subsection: Weekly Checklist

1: Run a disk scan to check for hard drive issues
Rating: 8

Observation Text :
Not happening

2: Run a defragmentation program
Rating: 8

Observation Text :
Not happening

3: Run a clean up to delete unneeded files
Rating: 9

4: Delete your cookies
Rating: 8

5: Update your virus definitions
Rating: 10

6: Run a full virus scan
Rating: 10

7: 25% of Assets to be covered
Rating: 8

Section: Documentation and Others
Subsection: Monthly Checklist

1: Check for updates - OS
Rating: 8

Observation Text :
Windows XP systems OS updates not available

2: Delete/uninstall unneeded or unused programs
Rating: 8

3: 50% of the above to be completed
Rating: 8

Section: Documentation and Others
Subsection: Quarterly Checklist

1:   Clean your keyboard
    Rating: 8

   Observation Text :
   Not happening

2:   Clean your monitor
    Rating: 8

   Observation Text :
   Not happening

3:   Clean your peripherals
    Rating: 8

   Observation Text :
   Not happening.

4:   Change all your passwords   **NC**
    Rating: 7

   Observation Text :
   Not happening regularly.