Audit Report for Audit ID - AU009-1

BPM Audit Report for IT Department

Audit Score

72/100

Details

Audit	AU009
Scheduled Audit	AU009-1
Location	Visakhapatnam
Hotel	GreenPark Hotel- GPV
Department	BPM-IT
Checklist	BPM Audit Report for IT Department
Audit Type	Internal
Auditor	Srinivas K A
Start Date	01-06-2017
End Date	30-06-2017
Submitted Date	30-01-2018
Status	Completed
Assigned By	Administrator Account
Non-Compliance	44
Chronic Issues	0

Comparison

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BPM AUDIT REPORT FOR IT DEPARTMENT</td></tr>
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⬆	**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: PMS MONTHLY BACKUP ON MEDIA stored at Finance Fire Proof Safe   **NC**
   Rating: 0

3: PMS MONTHLY BACKUP ON MEDIA stored at Unit Head Office   **NC**
   Rating: 0

4: EPABX OS - back up once in a month   **NC**
   Rating: 0

5: Monthly back up of FAMS, SAL TDS & TDS pack   **NC**
   Rating: 0

Section: IT intiatives
Subsection: IT initiatives

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

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

3: I-Alert - message working and usage.   **NC**
   Rating: 0

4: CARE - call center software functioning and usage.   **NC**
   Rating: 0

5: online Entry of KOT for buffets using TABS.   **NC**
   Rating: 0

Section: IT intiatives
Subsection: Data Transfer

1: Sales Force Data Transfer to PMS and PMS to SF.   **NC**
   Rating: 0

2: Regular updation of Intranet.   **NC**
   Rating: 7

3: Visitor Management System functioning.   **NC**
   Rating: 5

4:   Vendor Tracking System.   **NC**
   Rating: 0

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

6:   PO PDF mail.   **NC**
   Rating: 5

Section: Server Maintenance
Subsection: Server Maintenance

1:   Daily Monitoring of SQL Sever logs   **NC**
   Rating: 7

2:   Checking for memory utilisation   **NC**
   Rating: 7

3:   PMSDB not to exceed 10GB   **NC**
   Rating: 0

4:   Deletion of not in use DB's after backup   **NC**
   Rating: 7

Section: EPABX Telephones and Mobiles
Subsection: EPABX

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

Section: Network Security
Subsection: Firewall

1:   .exe files are blocked to all computers   **NC**
   Rating: 0

2:   Monitor Firewall client VPN connections usage   **NC**
   Rating: 0

3:   Monitor -Malicious abnormal activity   **NC**
   Rating: 0

4:   Regular review of logs -VPN -Firewall   **NC**
   Rating: 0

5:   Regular review of logs -Routers-IDS-IPS-Firewall   **NC**
   Rating: 0

6:   Exemptions on fire wall documented   **NC**
   Rating: 0

7:   Changes documented   **NC**
    Rating: 0

Section: Business Applications
Subsection: PMS software

1:   Purging of Guest History   **NC**
    Rating: 0

2:   Purging of Reservations   **NC**
    Rating: 4

3:   Purging of Guest Ledger   **NC**
    Rating: 4

4:   Purging of FO Transaction   **NC**
    Rating: 4

5:   Usage of Debtors followup   **NC**
    Rating: 0

Section: Business Applications
Subsection: FAMS SALTDS and TDS Pack

1:   Weekly tracking backup for 3 softwares   **NC**
    Rating: 0

Section: Business Applications
Subsection: Mailing

1:   De-activation of unused mail boxes   **NC**
    Rating: 7

Section: CCTV
Subsection: CCTV

1:   Clarity of video captured   **NC**
    Rating: 7

2:   Storage of data in DVR's   **NC**
    Rating: 5

3:   Storage of 90 days data   **NC**
    Rating: 0

4:   Deletion of unnecessary data   **NC**
    Rating: 7

5:   Mail alert camera NW   **NC**
    Rating: 0

Section: AMC & Insurance
Subsection: Software AMC

1: PMS Software in AMC   **NC**
    Rating: 0

Section: AMC & Insurance
Subsection: Others

1: Vehicle recording in AMC   **NC**
    Rating: 0

Section: AMC & Insurance
Subsection: Insurance

1: Passport scanner   **NC**
    Rating: 0

2: Softwares working with Dongle   **NC**
    Rating: 0

Chronic

No chronic issues found

Audit Questionnaire

Section: Critical Tasks
Subsection: Important Tasks

1: PMS Back up scheduled for every 6 hours
Rating: 10

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   **NC**
Rating: 0

4: PMS MONTHLY BACKUP ON MEDIA stored at Unit Head Office   **NC**
Rating: 0

5: PMS MONTHLY BACKUP ON MEDIA stored at IT Department
Rating: 10

6: Loading latest security patches on server
Rating: 10

7: Daily downloading of latest Antivirus SUPERDAT file
Rating: 8

8: Fire Wall Policy as per our policy for server / others
Rating: 10

9: PMS INS Yearly data on Media
Rating: 10

10: Pen drives blocked on all Systems   ☑ Not Applicable

11: Internet access to users as per our policy   ☑ Not Applicable

12: EPABX OS - back up once in a month   **NC**
Rating: 0

13: EPABX Preventive once in 6 months
Rating: 10

14: Monthly back up of Fire Wall configuration
Rating: 10

15: Monthly back up of FAMS, SAL TDS & TDS pack   **NC**
Rating: 0

16: Monthly Audit of website for proper functioning

Rating: 8

17: Mail Alert for IP camera working
Rating: 10

Section: IT intiatives
Subsection: IT initiatives

1: Guest Photo Check-in
Rating: 10

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

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

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

5: Airport Pickup Software - Zoop. ☑ Not Applicable

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

7: Voice logger working . ☑ Not Applicable

8: I-Alert - message working and usage. **NC**
Rating: 0

9: CARE - call center software functioning and usage. **NC**
Rating: 0

10: online Entry of KOT for buffets using TABS. **NC**
Rating: 0

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

12: Usage of Happy hours. ☑ Not Applicable

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

14: Banquet Advance Tagging for reservation
Rating: 10

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

Section: IT intiatives
Subsection: Data Transfer

1: PMS data transfer to Maxim.
    Rating: 10

2: Sales Force Data Transfer to PMS and PMS to SF.   **NC**
    Rating: 0

3: CRS booking transfers.
    Rating: 10

4: Regular updation of Intranet.   **NC**
    Rating: 7

5: Visitor Management System functioning.   **NC**
    Rating: 5

6: Vendor Tracking System.   **NC**
    Rating: 0

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

8: Online Liquor inventory.
    Rating: 10

9: Purchase indent authorization online .
    Rating: 10

10: Purchase Requisition authorization online - 2 levels.
    Rating: 10

11: PO authorization online - 3 levels.
    Rating: 10

12: PO PDF mail.   **NC**
    Rating: 5

13: ANPR system working status.
    Rating: 10

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

15: IP Camera at - Receiving.
    Rating: 10

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

17: IP Camera at - Banquets Plate Issue Area.
Rating: 10

18: Weighing scale auto capture of weight.
Rating: 10

19: Capture of Photo while receiving.
Rating: 10

Section: Server Maintenance
Subsection: Server Maintenance

1: Regular Monitoring of Event logs
Rating: 10

2: Regular checking for RAID Alarms
Rating: 10

3: Regular checking for hardware errors
Rating: 10

4: Daily Monitoring of SQL Sever logs   **NC**
Rating: 7

5: Rack maintained well - Dust free   ☑ Not Applicable

6: Switch Maintenance at Server room   ☑ Not Applicable

7: All patch chords labeled   ☑ Not Applicable

8: All cables dressed properly and identified   ☑ Not Applicable

9: Power sockets check   ☑ Not Applicable

10: Server UPS working condition   ☑ Not Applicable

11: Earthing working properly   ☑ Not Applicable

12: Regular check of disk usage
Rating: 10

13: Removing un-necessary files /data
Rating: 10

14: Review of user accounts and clean up
Rating: 10

15: Loading of latest security patches
Rating: 10

16: Disable of un-necessary services
Rating: 10

17: Anti virus policy for server
Rating: 10

18: Fire wall policy for server
Rating: 10

19: Checking for memory utilisation   **NC**
Rating: 7

20: Server room temperature below 24 degrees   ☑ Not Applicable

21: User accounts and policies
Rating: 10

22: PMSDB not to exceed 10GB   **NC**
Rating: 0

23: Deletion of not in use DB's after backup   **NC**
Rating: 7

24: Admin account restrict from remote login   ☑ Not Applicable

25: 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: Following weekly check list   ☑ Not Applicable

3: Following the Monthly check list   ☑ Not Applicable

4: Following the Quarterly check list   ☑ Not Applicable

5: Following the Yearly check list   ☑ Not Applicable

6: Regularly taking the computers data backup   ☑ Not Applicable

7: Monitoring the computers hard drives logs   ☑ Not Applicable

8: Licenced softwares only installed   ☑ Not Applicable

9: Maintaing the systems asset management   ☑ Not Applicable

10: Properly installed the Antivirus   ☑ Not Applicable

11:   Computer Internal firewall is enabled   ☑ Not Applicable

12:   Computers are Maintained cleanly   ☑ Not Applicable

13:   UPS power supply to Computers   ☑ Not Applicable

14:   Yearly once doing the clean format   ☑ Not Applicable

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

16:   Mailing address book updation   ☑ Not Applicable

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   ☑ Not Applicable

2:   All patch panels and switches are labeled   ☑ Not Applicable

3:   Dressing of cabling   ☑ Not Applicable

4:   Network chart at switch level to identify   ☑ Not Applicable

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   ☑ Not Applicable

4:   % of Load on each UPS   ☑ Not Applicable

Section: EPABX Telephones and Mobiles
Subsection: EPABX

1:   Separate earthing and working status   ☑ Not Applicable

2:   Separate UPS supply and batteries backup   ☑ Not Applicable

3:   Telephone consoles functioning
     Rating: 10

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

5: Cable from MDF and EPABX dressed properly
   Rating: 10

6: MDF maintenance   ☑ Not Applicable

7: Network diagram available at MDF
   Rating: 10

8: PRI card functioning
   Rating: 10

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

10: Analog extensions working -Any faulty ext.
   Rating: 9

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
   Rating: 10

2:   Not working/Scrapped phones
    Rating: 8

3:   Frequency of repairs
    Rating: 10

4:   CUG Plan utilisation
    Rating: 8

Section: Internet WIFI
Subsection: Wireline Internet

1:   Condition of Wireline Switches ☑ Not Applicable

2:   Condition of Patch chords provided in rooms ☑ Not Applicable

3:   No of rooms patch chords checked/Replaced ☑ Not Applicable

4:   Provision for Wireline in Banquets ☑ Not Applicable

5:   UPS Power supply to Switches. ☑ 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:   Precautions for external access points ☑ Not Applicable

5:   Signal strength in Public areas ☑ Not Applicable

6:   Signal strength in Rooms ☑ Not Applicable

7:   Signal Strength in Banquets ☑ Not Applicable

Section: Internet WIFI
Subsection: General

1:   No of staff trained on WIFI - Min.-3/month ☑ Not Applicable

2:   Internet load analysis ☑ Not Applicable

3:   No.of internet complaints during quarter ☑ Not Applicable

Section: Software Audit
Subsection: Software Audit

1:   Windows Server Licenses - compliance ☑ Not Applicable

2: SQL server licenses - compliance ☑ Not Applicable

3: Windows Desktop OS Compliance ☑ Not Applicable

4: Window CAL compliance ☑ Not Applicable

5: SQL CAL compliance ☑ Not Applicable

6: MS office compliance ☑ Not Applicable

7: Open office usage ☑ Not Applicable

Section: Software Audit
Subsection: Re-installation Procedure

1: Windows - Server ☑ Not Applicable

2: SQL Server ☑ Not Applicable

3: Desktop OS ☑ Not Applicable

4: MS-Office ☑ Not Applicable

Section: Network Security
Subsection: Antivirus

1: Regularly updating the antivirus
   Rating: 10

2: All antivirus software version is same ☑ Not Applicable

3: All computers On-demand scan working fine ☑ Not Applicable

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 ☑ Not Applicable

9: All computers On access demand 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   **NC**
    Rating: 0

4: Social network sites blocked to unauthorized users
    Rating: 10

5: Monitor Firewall client VPN connections usage   **NC**
    Rating: 0

6: Monitor -Malicious abnormal activity   **NC**
    Rating: 0

7: Regular review of logs -VPN -Firewall   **NC**
    Rating: 0

8: Regular review of logs -Routers-IDS-IPS-Firewall   **NC**
    Rating: 0

9: Default deny policy must be installed
    Rating: 10

10: Exemptions on fire wall documented   **NC**
    Rating: 0

11: Changes documented   **NC**
    Rating: 0

Section: Business Applications
Subsection: PMS software

1: Usage of Software
    Rating: 10

2: De-activation of ID on employee exit
    Rating: 10

3: User access rights review
    Rating: 10

4: Parameter changes during last 3 months
    Rating: 10

5: Purging of Guest History   **NC**
    Rating: 0

6: Purging of Reservations   **NC**
    Rating: 4

7: Purging of Guest Ledger   **NC**
    Rating: 4

8: Purging of FO Transaction   **NC**
    Rating: 4

9: Online Printing of all FO vouchers through PMS ☑ Not Applicable

10: PC master updations
    Rating: 10

11: Usages of Privilege cards
    Rating: 10

12: Touch Screen Interface
    Rating: 10

13: Online KOT printing
    Rating: 10

14: Usage of Debtors followup   **NC**
    Rating: 0

15: Invoices and Reminder Printing
    Rating: 10

16: Bank Reconciliation
    Rating: 10

17: Online Voucher print
    Rating: 10

18: 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   **NC**
    Rating: 0

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:   Bonus Usage   ☑ Not Applicable

5:   Employee Self services
     Rating: 10

6:   Performance Appraisal   ☑ Not Applicable

7:   Training   ☑ Not Applicable

8:   Time Office Integration
     Rating: 10

Section: Business Applications
Subsection: Website

1:   Regular updation of Website information
     Rating: 8

2:   Online guest comments working
     Rating: 10

3:   Online reservation working status
     Rating: 10

4:   Working status of web bookings to CRS
     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   **NC**
    Rating: 7

2:   Regular monitoring of SPAM Mails
    Rating: 10

Section: CCTV
Subsection: Vehicle Tracking System

1:   Data capturing happening on DVR & Server
    Rating: 10

2:   Storage of Data Clarity
    Rating: 10

3:   Reports working and viewed
    Rating: 8

Section: CCTV
Subsection: CCTV

1:   Working condition of all cameras
    Rating: 8

2:   CCTV server/DVR working condition
    Rating: 10

3:   Clarity of video captured   **NC**
    Rating: 7

4:   Storage of data in DVR's   **NC**
    Rating: 5

5:   Storage of 90 days data   **NC**
    Rating: 0

6:   Deletion of unnecessary data   **NC**
    Rating: 7

7:   Mail alert camera NW   **NC**
    Rating: 0

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   **NC**
   Rating: 0

2:   Care Software in AMC
   Rating: 10

3:   FAMS - Assets software in AMC
   Rating: 10

4:   Salary TDS pack in AMC
   Rating: 10

5:   Suppliers TDS pack in AMC
   Rating: 10

6:   Time office software in AMC
   Rating: 10

7:   CRS software in AMC   ☑ Not Applicable

Section: AMC & Insurance
Subsection: EPABX

1:   Epabx in AMC
   Rating: 10

Section: AMC & Insurance
Subsection: Others

1:   Vehicle recording in AMC   **NC**
   Rating: 0

Section: AMC & Insurance
Subsection: Insurance

1:   EPABX
   Rating: 10

2:   Passport scanner   **NC**
   Rating: 0

3:   Softwares working with Dongle   **NC**
   Rating: 0

4:   Voice Logger   ☑ Not Applicable

5:   Laptops in Insurance
   Rating: 10

6: Insurance for UPS less than 1 KVA ☑ Not Applicable

7: CCTV Cameras ☑ Not Applicable

8: Mobile phones. ☑ Not Applicable

Section: Documentation and Others
Subsection: SMART updation

1: Data network updated ☑ Not Applicable

2: Internet Network updated ☑ Not Applicable

3: Distribution charts of switches updated ☑ Not Applicable

4: UPS layout distribution updated ☑ Not Applicable

5: I.P. configuration chart ☑ Not Applicable

6: Virus updation chart ☑ Not Applicable

7: Backup summary chart ☑ Not Applicable

8: GUI PMS user chart ☑ Not Applicable

9: Module attributes ☑ Not Applicable

10: Maintenance charts ☑ Not Applicable

11: Data server configuration ☑ Not Applicable

12: Care server configuration ☑ Not Applicable

13: CCTV server configuration ☑ Not Applicable

14: Desktop configuration ☑ Not Applicable

Section: Documentation and Others
Subsection: Weekly Checklist

1: Run a disk scan to check for hard drive issues ☑ Not Applicable

2: Run a defragmentation program ☑ Not Applicable

3: Run a clean up to delete unneeded files ☑ Not Applicable

4: Back up your files to a remote location ☑ Not Applicable

5: Empty your recycle bin ☑ Not Applicable

6: Delete your Internet files ☑ Not Applicable

7: Clear your browsing history ☑ Not Applicable

8: Delete your cookies ☑ Not Applicable

9: Update your virus definitions ☑ Not Applicable

10: Run a full virus scan ☑ Not Applicable

11: 25% of Assets to be covered ☑ Not Applicable

Section: Documentation and Others
Subsection: Monthly Checklist

1: Check for updates - OS ☑ Not Applicable

2: Delete/uninstall unneeded or unused programs ☑ Not Applicable

3: 50% of the above to be completed ☑ Not Applicable

Section: Documentation and Others
Subsection: Quarterly Checklist

1: Clean your keyboard ☑ Not Applicable

2: Clean your monitor ☑ Not Applicable

3: Clean your peripherals ☑ Not Applicable

4: Rebuild your desktop ☑ Not Applicable

5: Change all your passwords ☑ Not Applicable