ENVIRONMENTAL AUDIT OF BRANCHES

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Object

To cover all those areas which creates IT environment at the Bank Branch which includes

- ❖ 1) Location Planning
- ❖ 2) Electrification
- ❖ 3) Power Supply
- ❖ 4) Environmental Facilities
- ❖ 5) Physical Security
- ❖ 6) Hardware and Networking

AREAS TO BE COVERED

- Server/ Gate Way PC

- Nodes - Thick clients and or Thin client

- Printers – Passbook, Lesar jet, Dot Matrix

- Scanners –

- UPS / or Generator Set

- Connectivity Equipments – Routers, Switch, Hub

LOCATION PLANNING

- Location Plan Exists.

- Safeguarding of Installations from Water, Seepage, fire and dust

SERVER ROOM :

- Server in separate room.

- Away from main door, windows, and customer area.

- Restricted access.

- Thermometer is installed.

- Enough space maintenance

- Smoke and fire detection system is installed.

- Telephone numbers of software/hardware vendors and UPS vendor are displayed.

SERVER ROOM contd.....

- Isolated from other system Components.

- Access control by secured Pass word.

- Correct Date and time.

- Version of Banking application matching.

- Used for other operations.

- Properly labeled

- Provision for Physical Locking.

- Keys are entrusted with responsible official.

- Regular cleaning of Critical component and its responsibility of the Hardware vendor.

- Tight fitting of Networking Cables.

SERVER ROOM contd…..

- Wall mounted cabinets for Hub and Routres.

- Provision for Preventive Maintenance.

- Emergency Alarm.

- Theft Alarm.

ELECTRIFICATION

- Diagram for power supply, cabling and Power distribution.

- Separate dedicated power supply line for computers.

- Power to the computers should be through the U.P.S.

- Other Equipments is attached to the dedicated power supply.

- Adequate number of Electrical points.

- Labelling of Electrical Panels, Boxes, Circuit breakers & controls.

- Adequate guarding of wires or circuits.

ELECTRIFICATION CONTD.....

- Measuring meter for voltage/current in working condition.

- Equipment and Accessories as per standard organization (ISI).

- Adequate protection to Devices or circuit breakers.

- Colors of wires used for electrification as per standards.

- Regular electrical inspection.

3. POWER SUPPLY

- Regular review of the power supply trends and fluctuation.

- Regular calculation of power requirement and load.

- Independent erthing arrangements for computer system.

- Location of UPS.

- Adequate Backup time of UPS considering location of Branch.

- Proper Indicators on UPS front panel.

- Regular maintenance of UPS.

POWER SUPPLY CONTD.....

- Batteries are kept outside the Computer cabin.

- Installation of exhaust fan in UPS Cabin.

- Proper ventilation in UPS cabin.

- Redundant Parallel circuit.

- UPS in working Condition.

- UPS alarm is installed outside the UPS cabin.

- Provision of standby UPS.

- Regular maintenance of UPS and Batteries and AMC details with mention the date of testing.

- Additional loads like Tubes, Fans etc. is connected to UPS.

POWER SUPPLY   contd…..

- Leakage Observed in UPS batteries.

- Emergency power supply is installed.

- Provisions for emergency lighting

- Provision for adequate power generator,

4) ENVIRONMENTAL FACILITIES

- Installation of Fire Alarm /Smoke Detector system and are working.

- Storage and usage of combustible material in critical environment.

- Availability of Fire Extinguishers.

- Installations of Fire Extinguishers at proper and critical point.

- Date of expiry is checked and refilled regularly.

- Maintenance of Registers documenting its installation and maintenance.

- Training to staff with the use of Fire Extinguishers.

Environmental Facilities   contd.....

- Provisions to control the temperature of system environment.

- Availability of temperature and humidity indicator.

In case of ATM attached to the Branch verify

- Availability of AC with redundancy to work 24x365.

- CC TV system with recording and Back Up.

- Working of Internal CCTV system and its recording & Back ups.

- Security Guard.

- No other chip/instrument is attached to ATM.

- Matching of date and time printed on Transaction slip with the real time.

VOLTAGE 230V

18   9:48PM
ITDISASTERS.com

5) PHYSICAL SECURITY

- Design and documentation of Physical Security Policy.

- I S Facilities Location in place which is integrated and integral part of building.

- Critical facilities are Located in least accessible area.

- Installation of PC's away from gangway to avoid unauthorized access.

- Controlling of access to Administrative / telebanking node/network printer / documents printers/local printer.

- Scanner is kept at safe place

Physical Security contd....

- Adequate authorisation for Physical access.

- Control on visitors to the critical area.

- Maintenance work by the software and hardware vendor is carried out in presence of the competent Bank Officials.

- Recoding and reporting of Access violation with mechanism to take proper action.

- Security Guard is Employed for the protection and he is aware of Computer System Assets.

- Hardware equipment or material supplied is of standard and reliable.

6) HARDWARE AND NETWORKING

- Maintenance of hardware equipment inventory.
- Maintenance and registration of serial number of inventory.
- Proper labeling of Hardware equipment's.
- Warranty record of the hardware equipment.
- Periodic review and matching of stock with h/w inventory.
- Regular AMC with the Hardware vendor.
- Response time bindings on the Hardware Vendor in AMC.
- Roles and responsibilities of Bank and Vendors in AMC.

Hardware and Networking   contd....

- Normal events of service availability in AMC.

- Penalties or incentives for the service performance and response time.

- Maintenance of the call register for the Hardware vendor.

- Fault report forms and procedures.

- Provision for remote login.

- Secured remote login.

Network Services

- Control on unused network services.

- Documentation of Network configuration.

- Awarness of network configuration by system person.

- Standard networking devices.

- Careful networking cabling.

- Adequate distance between data cables and electrical cables.

- Separate Net card segments are use where nodes exceed 24.

- Adequate number cable connections.

- Proper fittings of electric wires and Data cables.

NODES VERIFICATION

- Each node should be verified

- Configuration as per record

- Desk top wall paper is Standard

- No unauthorised software, games, movies are stored

- Access to server from Nodes is restricted to Banking application only.

ANTIVIRUS TOOLS

- Centrally managed or Node based

- Virus definition is current

- Parameters in antivirus software are correctly set

- Verify reports and logs available

- Periodic full scan needs to be done

- As a good practice antivirus should be changed periodically