

IT General Controls review as per IT Policies & Procedures -

- **IT Organization & Suppliers -**
- **Logical Access –**
 - Review of user management procedures at Application, Operating System and Database Levels
 - Review of privileged access rights granted to application and system administrators
 - Review of account and password policy controls
- **Physical & environmental Access Controls –**
 - Review of the procedures implemented at the Data Center (DC) / server rooms for:
 - Assess the critical assets for Environmental Management system.
- **Change management process & system documentation –**
 - Review the program change management with respect to policy & procedures.
 - Review the procedures for requesting, development, testing and implementing changes.
 - Review the process for monitoring program modifications.
- **System Maintenance –**
 - Review of Annual Maintenance Contracts (AMCs) / Warranties, Service Level Agreements (SLA)
- **Event & application Log maintenance –**
 - Review the policies and procedures adopted for reviewing and following-up activity logs
- **Third party Management–**
 - Review Service Level Agreements(SLA)/Non-Disclosure Agreements (NDA) for the maintenance and upkeep of the systems
- **Backup & recovery process–**
 - Review Backup related Policies & Procedures and compliance thereof.
- **Incident Management –**
 - Review Incident Management related Policies & Procedures and compliance thereof.
- **Business continuity management –**
 - Review the Business continuity management related Policies & Procedures and compliance thereof.
- **Compliance –**
 - Perform compliance review vis-à-vis IT regulatory requirements provided by the AMC.
- **Interfaces -**
 - Review controls over interfaces of Canara Robeco with –
 - Internal Systems
 - Broker systems (STP/Nifty Files upload)
 - Custodian / fund accounting systems
 - R&T agent
- **Security Review –**
 - Security and controls review of Operating systems, Oracle Database.
 - Policies & Security review of Firewall, Wi-Fi, Servers, Routers & desktops.

1. In Scope Applications to be covered:

- **AMC:** Adrenalin, Employee Trading system, O365 & SUN Accounting system
- **Mutual Fund:** Bloomberg – POMS, POMS Interface, NDS system, Scheme Accounting
- **Fund Accountant –** HSBC: IFS – Fund Accounting system

- R&T – Karvy: CRM, Unit processing process
- Custodian – HSBC/HDFC: Software for Receipt entry & reconciliation

2. **IT Infrastructure to be covered:**

- Firewall,
- Servers,
- Network,
- Wi-Fi
- Routers,
- Desktops

3. **System software to be covered:**

- Operating Systems (system software)
- MS-SQL Database.

4. **Post Audit follow up review**

Audit Period: 1st April 2016 till 31st March 2018

Audit Schedule:

Stages	Activity	Time Lines
1	Project kick-off Meeting	27 th June '18
2	Audit Execution as per IT Policy & Procedures	2 nd July '18 – 13 th July'18
3	Draft report for discussion	20 th July '18
4	Final Report for Management Review	27 th July '18
5	Post Audit follow up review	Dec '18