

bAudit Presentation

By
BBSS(I) Pvt. Ltd.

Agenda

- bAudit overview
- Requirements of bAudit
- Functionality's/Levels covered
- Types of reports
- Q&A

What is bAudit

- **The objectives** of bAudit system are
 - A platform for an automated audit tool for the Banking application
 - Act as a decision support system for the management
 - Reduce the resources to be spent on audit by the Bank from human, time and work space perspective
 - bAudit provides the branch management and other operational officials to have a look at all the *exceptions* that take place within the authorized framework.
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Why bAudit

- Customisable infrastructure
- Users can get customized reports
- Users can view the reports offline
- Users can print the reports for audits/records purposes
- User-friendly GUI.
- User friendly Reports
- Easy to use and understand audit MIS

Various Functionalities

- Application Level Exceptions
- Operating System Level Exceptions
- Database Level Exceptions

Some Application Level features

- **Current list of all users with full details**
- **Failed login attempts**
- **List of trusted users**
- **List of users who have a blank password or simple at OS level**
- **List of file transfer protocol (ftp) users**
- **Password attributes of the users in UNIX**
- **Change of password for the OS users through other executables and shell scripts**
- **List of users who have root equivalence**
- **Usage of root and other privileged users profiles**
- **Current list-of-all application users with full details**
- **Failed login attempts with details for the application users**

- **List of user whose work-classes-have been changed for a given period**
- **List of users who have logged into the system during their leave period and holidays**
- **Lists of user who have logged into the system after their deletion from the rolls of the Branch (transferred, dismiss, and resigned)**
- **List of users created and deleted**
- **Max Work-class of an operator**
- **Last login of all users (success S and failure F)**
- **Last login of a particular user (success S and failure F)**
- **Access log for one day/today/any range of dates.**

- **List of transactions, which have been deleted**
- **List of transactions for debit made to certain non permitted office A/Cs**
- **List of cash transactions for more than or equal to Rs. 10,00,000**
- **List of cash transactions for more than Rs. 50,000 for DD's.**
- **List of high value transactions for a specific amount**
- **List of transactions, which have value dating for more than specified no. Days**
- **List of Backdated transactions**

- **List of transaction in staff A/Cs for more than specified amount**
- **List of transactions where verified users ID = NULL**
- **Transaction in Dummy accounts**
- **List of DD's where DD commissions are not collected**
- **Transaction put through by a particular user - /verified/posted**
- **High value DDs issued**

- Modification reports - A3
- **Scheme/Product parameter set audit of extra ordinary events**
- **Modifications made to a in user profile**
- **Modifications made to menu privileges assigned to user(s)**
- **Modifications made to exceptions**
- Account level reports - A4

Some Application Level features

- **List of Term Deposit A/C that is closed prematurely, with full details**
- **List of advance A/Cs where Interest is not applied**
- **List of A/Cs with expired limits**
- **List of dummy accounts, which are not closed**
- **List of zero balance accounts**
- **List of TODs with age**
- **Audit of auditing**
- **List of A/Cs Frozen**

Some Operating System Level Features

- List of current users and their status
- Login failed attempts
- Change in privilege for the specified period
- List of trusted users
- List of SU(*Switch users*)
- List of users without *password*

- List of users in ORACLE
- Login failing attempts
- List of roles & privileged assigned to users
- List of modification made to be data base or table space
- List of password attributes to the users in ORACLE
- List of user whose roles have been changed for a given period

Export tool

Current system day & date

Title of the report

Current system time

Current Users List

Zoom: 75%

Wednesday, October 01, 2003

List of Current Users 2:26:54 PM

User ID	Name	Empl ID	Role	Work Class	Temp Work Class	Effective Upto	Max Inactive Time (minutes)	Expiry Date	Login Time Low	Login Time High	Last Change Time	Access Flag (N-No, Y-Yes)
00000	00000000	10066	GU	026			10	15-07-2003	8:00:00 AM	11:00:00 PM	02-03-2000	N
00000	00000000	11280	GU	026			10	15-07-2003	8:00:00 AM	11:00:00 PM	02-03-2000	N
00000000	00000000	11266	GU	026			360	15-07-2003	12:00:00 AM	11:59:59 PM	19-04-2001	N
00000000	00000000	9235	GU	026			10	15-07-2003	8:00:00 AM	11:00:00 PM	02-03-2000	N
00000000	00000000	9622	GU	026			10	15-07-2003	8:00:00 AM	11:00:00 PM	01-03-2000	N
00000000	00000000	10174	GU	026			10	15-07-2003	8:00:00 AM	11:00:00 PM	01-03-2000	N
00000000	00000000	6478	GU	026			10	15-07-2003	8:00:00 AM	11:00:00 PM	01-03-2000	N
00000000	00000000	10353	GU	026			10	15-07-2003	8:00:00 AM	11:00:00 PM	01-03-2000	N
00000	00000000	9797	GU	026			360	15-07-2003	12:00:00 AM	11:59:59 PM	14-03-2002	N
0000	0000000000	OMER	GU	026			360	15-07-2003	12:00:00 AM	11:59:59 PM	04-02-2003	N
0000	00000000	9325	GU	026			360	15-07-2003	12:00:00 AM	11:59:59 PM	22-05-2001	N
00000	00000000	10769	GU	026			10	15-07-2003	8:00:00 AM	11:00:00 PM	02-03-2000	N
0000	0000000000	UTMAR	GU	026	026	31-12-2003	5	15-07-2003	12:00:01 AM	11:59:59 PM	16-12-2002	N
□ * ^	0000000000	1957	IN	051			10	19-06-2005	8:00:00 AM	9:00:00 PM	17-06-2003	N
≡ ≡ ≡	0000	9784	GU	051			360	15-07-2003	12:00:00 AM	11:59:59 PM	20-05-2003	N
0000	0000	9784	GU	051			360	15-07-2003	12:00:00 AM	11:59:59 PM	10-06-2003	N
00000	0000	9784	GU	051			360	15-07-2003	12:00:00 AM	11:59:59 PM	15-02-2003	N
00000	00000	10067	GU	051			360	15-07-2003	12:00:00 AM	11:59:59 PM	17-06-2003	N
00000000	00000000	10067	GU	051			360	15-07-2003	12:00:00 AM	11:59:59 PM	30-09-2001	N
00000000	00000000	9311	GU	051			360	15-07-2003	12:00:00 AM	11:59:59 PM	22-02-2003	N

VAUDIT By BBSS(I) Pvt Ltd. Page 1 of 5

Pages: 1

Product name & organization name

Page 1 of 5

Page navigator

Current page number with total pages

Thank You !