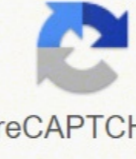


I'm not robot  reCAPTCHA

**Open**

| PREPARED BY:                 |     | AUDIT PROGRAM                                   |  | Author: Lance M. Torcato |      |          |
|------------------------------|-----|---|--|--------------------------|------|----------|
| APPROVED BY:                 |     | Logical Security<br>Operating Systems - Generic |  | Audit Date: _____        |      |          |
| Assigned                     | Sr. | Sub-Item  | Audit Step   | Date                     | Ref. | Initials |
| <b>SYSTEMS UNDERSTANDING</b> |     |   |  |                          |      |          |
| A                            | 1.0 |   | <b>Organization</b><br><i>Objective:</i> To ensure that the audit team has a clear understanding of the delineation of responsibilities for system administration and maintenance.   |                          |      |          |
| A                            | 1.1 |   | Determine who is responsible for systems administration and maintenance. Obtain a current organization chart if available.   |                          |      |          |
| A                            | 2.0 |   | <b>Hardware Platforms</b><br><i>Objective:</i> To ensure that the audit team has a clear understanding of the hardware platforms subject to review and to obtain the necessary information for identifying critical systems throughout the processing environment.   |                          |      |          |
| A                            | 2.1 |   | Obtain an understanding of the server infrastructure at the site under review: <ul style="list-style-type: none"> <li>▪ Request a complete server inventory. If an inventory is not available, obtain an understanding of the server environment through discussions with the system administrator(s).</li> <li>▪ If a server inventory is unavailable, meet with system administration personnel and tour the facility to identify all servers and collect information regarding each server.</li> <li>▪ At a minimum, obtain the following information for each server included in the scope of the review:                             <ul style="list-style-type: none"> <li>■ Server name</li> <li>■ Manufacturer and model</li> <li>■ Purpose / function of each server</li> <li>■ Owner</li> <li>■ Enterprise supported</li> <li>■ Responsible systems administrator</li> </ul> </li> <li>▪ Identify the key servers that support business applications.</li> </ul> |                          |      |          |
| A                            | 2.2 |   | Obtain an understanding of the peripherals in the environment (i.e., printers, shared disks, etc.).  |                          |      |          |
| A                            | 2.3 |   | Determine if there are known problems with servers in the environment.   |                          |      |          |
| A                            | 3.0 |   | <b>Operating System</b><br><i>Objective:</i> To ensure that the audit team has a clear understanding of the operating system included in the scope of the review. Furthermore, to ensure that known vulnerabilities associated with specific operating system versions are considered during the audit to ensure that all exposures are identified.  |                          |      |          |
| A                            | 3.1 |   | Ascertain which version(s) of the operating system are running on the servers included in the scope of the audit.  |                          |      |          |
| A                            | 3.2 |   | Determine if the most current version of the operating system is installed. If not, evaluate the justification for why the most current version is not installed.  |                          |      |          |
| A                            | 3.3 |   | Ascertain whether all known operating system fixes have been installed. If not, evaluate the justification for why available fixes have not been installed.  |                          |      |          |
| A                            | 3.4 |   | Determine if procedures are in place to ensure that system administration personnel are informed of available operating system fixes in a timely manner.   |                          |      |          |
| A                            | 3.5 |   | Determine if third-party security software is running on the servers.  |                          |      |          |
| A                            | 4.0 |   | <b>Network Overview</b><br><i>Objective:</i> To ensure that the audit team has a clear understanding of network components and interfaces which may impact the logical security of specific servers and workstations.  |                          |      |          |



BUSINESS  
SERVICE TITLE HERE

LOREM IPSUM

HEADLINE  
HERE

2017

LOREM IPSUM

Lorem ipsum dolor sit amet consectetur adipiscing elit tr  
aasent dictum dui a sollicitudin laoreet integer lectus.



