Survey Questionnaire for IT Applications

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General instructions for filling the forms of survey questionnaire:

✓ There are three forms in the survey questionnaire. For each IT Application all the forms of survey questionnaire as applicable should be filled.
✓ For item at Sl. No. 2, the name of IT Application (e.g. Passenger Reservation System i.e. PRS in Railways) should be filled in.
✓ For item at Sl. No. 3, the name of senior most person should figure in case aggregated data is compiled from more than one location/agency.
✓ The information may be furnished in the space available in format as far as possible. However, if the space given in format of survey questionnaire is inadequate, an additional sheet may be attached labeled as "Additional Sheet # *Sl No*. For example, if the space for furnishing information related to item at Sl. No. 2 is inadequate, then a separate sheet may be attached labeled as "Additional Sheet # 2".

_____

Form 1

1. Name of the auditee organisation:
    _____
    _____

2. Name of the IT Application and broad functional areas covered by the IT Application:
    _____
    _____
    _____
    _____
    _____
    _____
    _____
    _____
    _____

		Name	Phone No.	Email
3.	Department Head of the auditee organisation	_____	_____	_____
4.	Information Systems In-charge	_____	_____	_____

5.   What is (are) the location(s) of the IT system installation(s)?

        _____

        _____

6.   State the category of IT system architecture:

        A.   Mainframe based   ☐
                Minicomputer based   ☐
                PC based   ☐

        B.   File server system   ☐
                Client server system   ☐
                Distributed processing system   ☐
                Web based/EDI   ☐

7.   State the category of IT application. (Please indicate the choice(s) applicable):

                Accounting system   ☐
                Financial management system   ☐
                Inventory/Stock Management   ☐
                Decision support system/MIS   ☐
                Manufacturing/Engineering   ☐
                Payroll   ☐
                Personnel and Administration   ☐
                Marketing   ☐
                Sales   ☐
                ERP   ☐
                R&D   ☐
                Others (Please specify)   ☐   _____

        Whether the above IT application has got a bearing on the financial and
        accounting aspects of the organisation?

        Yes   ☐   No   ☐

8.   Software used (the Version may also be specified):

      Operating system(s)   _____

      Network software   _____

      Communication Software   _____

      DBMS / RDBMS   _____

      Front end tool   _____

      Programming Language(s)   _____

      Bespoke (Vendor developed)   _____

      Utility Software   _____

      Any other   _____

                                            _____

9.   Is the IT system a mission critical system or an essential system?

      Mission critical system$^\beta$ ☐

      Essential system$^\gamma$ ☐

10.   Has the application system been/being developed in house or by outsourcing?

      In house   ☐   Outsource   ☐

      In case of outsourcing, specify the name of agency and the contracted amount:

      _____

      _____

(P.S. – If the IT system is still under development, rest of the information in questionnaire from Sl. No. 11 to 18 may not be furnished. In that case Form 3 may be filled and if procurement of H/W for IT system under development has been done, then Form 2 may also be filled.)

                                                    MM   YY

11.   When was the system made operational? _____

$^\beta$ A mission critical system is an IT system which directly impact the primary function of the organisation e.g. Passenger Reservation System in Indian Railways.

$^\gamma$ An essential system is an IT system the loss of which cause disruption of some service without disrupting primary services.

12.   What is the total investment on the IT system project? Indicate the amount in lakhs of rupees against each item[α]:

                                                                    Rupees in lakhs

        Hardware items   _____
        Proprietary software   _____
        Application System development cost   _____
        Manpower training cost   _____
        Maintenance of the all components (recurring)   _____

13.   Number of persons engaged for operation of the system?

        1 – 10   ☐
        11 – 25   ☐
        26 – 50   ☐
        51 – 100   ☐
        > 100   ☐

14.   What is the average volume of transactional data generated on a monthly basis in terms of storage space?

        _____

15.   Does the system documentation provide for an audit trail of all transaction processed and maintained?

        Yes   ☐   No   ☐

16.   Are the manuals as indicated available?

        a.   Users documentation manual   Yes ☐   No ☐

        b.   Systems and programming   Yes ☐   No ☐
              documentation manual

17.   Is there any system in place to make modifications to the application being used on a regular basis to support the function?

        Yes   ☐   No   ☐

18.   Does the organisation transmit/receive data to/from other organisations:
        Receive   ☐   Transmit   ☐   No   ☐

[α] If exact figures are not readily available, approximate figures may be provided.

Form 2

19. Details of all Hardware items including the number of terminals etc. employed:

     _____
     _____
     _____
     _____
     _____

20. Details of networking hardware employed:

     _____
     _____
     _____
     _____

21. Are more than one IT Application(s) running on the same Hardware? If Yes, specify the name(s) of such IT Application(s) apart from the application as indicated at Sl. No. 2.

     _____
     _____
     _____
     _____

Form 3

22.   What is the current status of development of IT system if it is still under development? (Tick the appropriate box indicating the current stage of development of IT Application)

       Feasibility study stage   ☐

       User requirement   ☐
       Specification stage

       Design stage   ☐

       Development stage   ☐

       Testing stage   ☐

       Parallel run (if any)   ☐

       Implementation stage   ☐

23.   What is the projected cost for the IT system?   Rs._____lakhs

24.   What is the target date for completion?   _____(MM/YY)