

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>Packing lists should not include quantity shipped and should be entered into the system by someone other than the individual receiving the items.</p> <p><u>Audit Steps:</u></p> <ol style="list-style-type: none"> a) Evaluate the packing lists to ensure that the quantity ordered is not available b) Verify that documented receiving procedures exist and include enforcement mechanisms. c) Verify that all goods are received through a single receiving point. d) Verify that written receiving reports are prepared on all goods received and a copy is maintained in the receiving department. e) Evaluate the ability of receiving clerks to initiate purchases. <p>Triton Tools / User Management / Authorizations / Session Authorizations / Print Resulting Session Authorizations</p> <p>In the session field, enter the session PUR4101M000 (This is the session to maintain purchase orders). The resulting report will provide a listing of all users that have the ability to maintain purchase orders. To obtain a listing of the users that reside at the distribution center, perform the following:</p> <p>Triton Tools / Application Implementation / Business Functions / Display Users by Business Function</p> <p>Enter the Simulation Code of 001. This will provide a listing of all the users at the distribution center. Compare the listing of individuals at the DC to those authorized to maintain purchase orders. Verify any discrepancies are appropriate.</p>		
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Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
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	<p>BaaN should prevent the entry of goods resulting from a receipt that is not associated with a valid purchase order. To process a goods receipt, BaaN uses the information contained in the purchasing tables PUR040, PUR041, and PUR045. The only way to manipulate these tables is to either enter an erroneous purchase order, or to use the table maintenance facility to edit or enter new data.</p> <p><u>Audit Steps:</u></p> <p>a) Evaluate the individuals that have access to maintain tables within BaaN</p> <p style="padding-left: 40px;">Triton Tools / User Management / Authorizations / Session Authorizations / Print Resulting Session Authorizations</p> <p>In the session field, enter the session TTAAD4100 (This is the session to maintain tables). The resulting report will provide a listing of all users that have access to table maintenance.</p>		
	<p>Storage location rules within BaaN are defined to allow goods to be 'stored' in the receiving dock. Goods listed with a location of receiving cannot be used to fill orders. They must first be processed, 'generate inbound', and placed in their bin locations prior to filling orders. Excessive goods located in 'RECEIVING' cause inefficiencies in the supply chain process and may prevent orders from being filled in a timely manner.</p> <p><u>Audit Steps:</u></p> <p>a) Using the 'p' command, press the P key and type the name of the sessions in the lower left hand corner, go to the TDILC1516m000 session. This session will allow the entry of a location 'RECEIVING' and a warehouse. The query returned will provide a listing of all of the goods currently located in the 'RECEIVING' location.</p>		
	<p>Only returned goods that meet management's defined criteria are accepted as inventory.</p>		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>Only authorized goods should be accepted as returns and credited to the customer's account. Returned goods from the dealer are processed by entering a negative sales order. Few individuals at the distribution center should be able to process returned goods.</p> <p>Audit Steps:</p> <ol style="list-style-type: none"> a) Evaluate the criteria published by management to evaluate returned goods and identify the methods used to communicate these standards to all personnel. b) Identify the number of people working on dealer returns. c) Evaluate the cycle time of dealer returns. Compare the order number of returned goods to the delivery receipt date of that order to determine how long the order has been sitting on the dock. d) Identify any provisions made to account for industrial versus dealer returned items. e) Obtain a listing of the individuals at the distribution center that have the ability to process returned goods. <p>Triton Tools / User Management / Authorizations / Session Authorizations / Print Resulting Session Authorizations</p> <p>In the session field, enter the session TDSLS4101m000 (This is the session to enter orders). Anyone with access to enter orders can process an order type for a returned good.</p>		
2. Inventory Management			
5.4.2F	Document and Monitor Inventory Status - Perform cycle counting or other such method to maintain inventory system accuracy at the stock keeping unit (SKU) level.		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>Cycle counts should be performed using the proper classification of materials. This is to ensure that the company is maintaining accurate inventory information throughout the year. Inaccurate inventory information can cause inventory shortages or result in increased inventory costs.</p> <p>Audit Steps:</p> <ol style="list-style-type: none"> a) Identify the procedures in place to govern cycle counting. b) Evaluate the procedures in place to govern when a recount is required. c) Verify that goods are classified and that cycle counting intervals have been established for all material types by running the following Microsoft Access query: <ol style="list-style-type: none"> 1) Create new database (note: a separate database needs to be created for each distribution center). 2) Link the following oracle7 tables into the database using ODBC: TRITON_TIITm001 and TRITON_INV001: 3) Go to File>GetExternalData>LinkTables 4) In the Link dialog box, in the FilesOfType box, select ODBC Databases. 5) In the SelectDataSource dialogue box, click the MachineDataSource tab to see a list of all available data sources. 6) In the SelectDataSource dialogue box click the machine data source which contains the Triton Database. 7) Login to the machine data source. 8) Select the SaveTheLoginIDAndPassword checkbox. 9) Select TRITON_TIITm001 and TRITON_INV001, click OK. 10) The following fields are needed from the two tables: Item number, ABC Classification, Warehouse and Date of last cycle count. <p>The resulting report will provide a listing of all of the items for a distribution center, the ABC classification and the date the item was last cycle counted.</p>		
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Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
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	<p>Physical inventory / cycle count adjustments should be reviewed and approved. This is to ensure that all adjustments are appropriate and that cycle counts are performed on a timely basis.</p> <p><u>Audit Steps:</u></p> <ul style="list-style-type: none"> a) Evaluate the procedures for clearing cycle account adjustments and determine if a report is generated which can be reviewed or approved to ensure proper adjustments were made. b) Determine if additional cycle counts are required prior to creating an adjustment. c) Determine which individuals have the ability to post adjustments and evaluate the listing to ensure a proper segregation of duties exists. <p>Triton Tools / User Management / Authorizations / Session Authorizations / Print Resulting Session Authorizations</p> <p>In the session field, enter the session ILC1120M00 (This is the session to enter inventory transactions). The resulting report will provide a listing of all users that have the ability to enter inventory transactions. Cross reference this listing against the distribution center user listing generated previously. Note any discrepancies.</p>		
	Inventory should be accurately tracked and valued		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

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		WP Ref.	Initials

	<p>Obsolete inventory should be identified and disposed of promptly.</p> <p>Audit Steps:</p> <ol style="list-style-type: none"> a) Evaluate the procedures to identify, record and dispose of obsolete inventory along with the amount of space taken by obsolete inventory. b) Evaluate the reports being used to identify slow moving and obsolete inventory; summary methods would include canned reports from within BaaN or MS Access queries developed by distribution center staff. c) Identify and document the controls in place to govern the accumulation and sale of scrap. d) Generate a report of the obsolete inventory on hand and evaluate the results. Following are guidelines for performing a Microsoft Access query: <ol style="list-style-type: none"> 1) Create new database (note: a separate database needs to be created for each distribution center). 2) Link the following oracle7 tables into the database using ODBC: TRITON_TIIIm001 and TRITON_INV001: 3) Go to File>GetExternalData>LinkTables 4) In the Link dialogue box, in the FilesOfType box, select ODBC Databases. 5) In the SelectDataSource dialogue box, click the MachineDataSource tab to see a list of all available data sources. 6) In the SelectDataSource dialogue box click the machine data source which contains the Triton Database. 7) Login to the machine data source. 8) Select the SaveTheLoginIDAndPassword checkbox. 9) Select TRITON_TTDIN001200 and TRITON_TTIITM901200, click OK. 10) The following fields are needed from the two tables: T\$ITEM, T\$CWAR, T\$STOC, T\$ALLO, T\$LCYC, T\$ORDER. 		
3. Order Fulfillment			
4.3.2C	Create an integrated system that is informative and flexible, and used throughout the company.		
	All processed orders are billed to customers		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
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	<p>Within BaaN the functionality exists to delete the record detail after generating outbound. This results in a pick list being created, picked and shipped, but the invoice never being created because the release outbound was never completed. Few individuals should have the ability to delete record details upon outbound generation.</p> <p><u>Audit Steps:</u></p> <p>a) Verify that there are a limited number of individuals that have the ability to delete detail records upon outbound generation.</p> <p>Triton Distribution / Location Control / Location Inventory Transactions / Maintain User Authorizations for Outbound Movement</p> <p>Press the enter key to activate the selection and then use the arrow keys to cycle through the users listed. Note the users that have the ability to maintain outbound past print picking list status. This ability will allow a user to ship goods to a customer without ever invoicing the customer.</p>		
	<p>Device queues maintain the electronic versions of items to be printed. BaaN retains images of items that were recently sent to device queues. If individuals have the ability to maintain device queues, they could reprint a pick ticket as an original and ship the goods a second time.</p> <p><u>Audit Steps:</u></p> <p>a) Evaluate the individuals that have the ability to maintain device queues.</p> <p>Triton Tools / User Management / Authorizations / Session Authorizations / Print Resulting Session Authorizations</p> <p>In the session field, enter the session TTAAD3120m000 (This is the session to maintain device queues). The resulting report will provide a listing of all users that have the ability to maintain the device queues.</p>		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
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	<p>The image files listed above are stored on the Unix servers. Any individual can determine the location of these image files from the general table display session TTAAD4500. Image files are ASCII text and can be manipulated fairly easily and, as mentioned above, reprinted as the original.</p> <p>Audit Steps:</p> <p>a) Obtain a listing from the security administrator of those individuals with the ability to access a Unix command line from BaaN. The Unix command line would allow users to access the image files.</p> <p>b) Additionally, obtain a listing of the users designated as 'super user' in BaaN. Super users do not have security associated with their profiles and will therefore not show up on any reports generated from security tables.</p>		
	Incompatible duties of picking and packing are adequately separated.		
	<p>The individual picking the goods should be required to turn the items picked and the picking list over to a shipping individual who is responsible for verifying the accuracy of the order and releasing the goods to be shipped.</p> <p>Audit Steps:</p> <p>a) Verify that policies exist to require the separation of job responsibilities between the picking and packing functions.</p>		
4. Shipping			
5.3.1	Arrange Product Shipment – Control outflow of goods		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>All product shipments are the result of valid sales orders in order to prevent unauthorized shipments. This ensures that deliveries are accurate and not subject to returns or lost product. To generate a pick ticket, the information is processed from the sales order tables SLS040, SLS041, and SLS045. Individuals that have access to the table maintenance feature can manipulate the data in these tables and possibly cause erroneous shipments.</p> <p><u>Audit Steps:</u></p> <p>a) Evaluate the individuals that have the ability to maintain tables.</p> <p style="padding-left: 40px;">Triton Tools / User Management / Authorizations / Session Authorizations / Print Resulting Session Authorizations</p> <p style="padding-left: 40px;">In the session field, enter the session TTAAD4100 (This is the session to maintain tables). The resulting report will provide a listing of all users that have access to table maintenance.</p>		
	<p>Formalized procedures exist to communicate rush orders to consistently meet scheduled deliveries.</p> <p><u>Audit Steps:</u></p> <p>a) Verify that orders printed off the 'hot' printer are appropriately designated as RUS or RSH.</p> <p>b) Evaluate the procedures for designating an order as a rush order.</p>		
5.3.2	Deliver Products to Customers - Ensure appropriate delivery.		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>Freight carriers are evaluated based on pricing, quality, service, and deliveries.</p> <p>Audit Steps:</p> <p>a) Determine through discussions with business process owners if BaaN will be utilized for freight carrier analysis.</p> <p>b) If freight carriers will be evaluated, determine the criteria, which will be used to monitor performance (i.e. on-time delivery, quality, and price).</p>		
5. Support Functions			
	Resources used to support business processes are adequately protected.		
	<p>Distribution center facilities have adequate physical security measures in place.</p> <p>Audit Steps:</p> <p>a) Determine if a physical security policy exists and is enforced.</p> <p>b) Observe lunch hours and shift changes to see if security inspections are adequate.</p> <p>c) Evaluate the environment to determine if alarm systems are in place, tested and operational.</p> <p>d) Inspect fire extinguishers to ensure that the inspection tags are current and that the required amount of extinguishers is available.</p> <p>e) Verify that a fire brigade has been established and that a sprinkler system exists and has been tested.</p> <p>f) Verify that storage space is adequate and that aisles are of a sufficient width.</p>		
	Payroll procedures exist to ensure accurate disbursement amounts and to ensure the integrity of payroll data.		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>Distribution center payroll processing is conducted in a manner compliant with corporate policies.</p> <p><u>Audit Steps:</u></p> <ul style="list-style-type: none"> a) Review and test controls used to ensure that employees are paid only for the time worked, or for amount of work produced, and that vacation, sick, and other time is monitored. Review calculation procedures. b) Review payroll register for inappropriate wage rates, terminated employees, laid-off employees, and ghost employees. c) Review and discuss controls used to ensure that only authorized changes are made to payroll records. d) Determine if personnel files and computer systems are adequately safeguarded and restricted. e) Select at least 5 employees from the payroll records and trace all applicable information to their personnel records, such as name, social security number, birth date, hire date, wage, etc. Also ensure that annual evaluations have been prepared on a timely basis. 		
	Accounting for fixed assets is adequately controlled.		
	<p>All asset records should be accurate and up to date.</p> <p><u>Audit Steps:</u></p> <ul style="list-style-type: none"> a) Trace a sample of items from the fixed asset ledger to the assets, and vice versa. b) Review any significant additions and retirements of the past year. 		
	6. Infrastructure		
	Policies and Strategy – Management of systems.		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>Critical system resources should be adequately protected to prevent unintentional data loss. Sensitive data should not be stored on the local hard drive. For files required to access enterprise resources e.g. terminal emulation software, a security strategy should be designed to prevent users from accessing and / or changing these files.</p> <p><u>Audit Steps:</u></p> <ol style="list-style-type: none"> a) Determine if data storage policies and file security measures are in place. b) If policies exist, select a sampling of user workstations. c) From the sample set, search globally for data types associated with BaaN. To conduct a global search, select StartMenu / Find / Files or Folders. In the "Name" field enter *(data type delimiter). Make sure the local drive is selected. Select "Find Now". If BaaN data is found, pursue questioning to reveal what part of the business requires local storage of said data, and if possible suggest alternatives. d) From the sample set, determine whether users have detrimental access to application files. To conduct an investigation, select StartMenu / Programs / WindowsExplorer. Select the emulation software directory. If system files are visible, suggest workstation solutions to lock access. Solutions can be found in the third party market (i.e. Win-Secure-It, OmniGuard Suite, etc.). 		
	<p>Workstations should be configured in a standardized manner, otherwise administrative tasks become burdensome and may require the inefficient use of administrative time. Policies should be created to require that the workstation configurations remain standardized throughout the organization.</p> <p><u>Audit Steps:</u></p> <ol style="list-style-type: none"> a) Verify that workstation configuration policies are in place. b) If policies exist, select a sampling of user workstations. c) Prove compliance to policy through comparison, by policy criteria, between three or more workstations. Typical criteria should include drive mappings, application versions, operating system versions, and network settings. 		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

GBP Ref		COMPLETION	
		WP Ref.	Initials

	<p>Critical user roles should be moved to alternate workstations in the event of component failure. Business critical user roles should be identified, and contingent workstations distinguished and tested.</p> <p><u>Audit Steps:</u></p> <ul style="list-style-type: none"> a) Determine which user processes (and corresponding workstations) are critical to distribution center functionality. b) Verify that a listing is available to identify these critical workstations c) Evaluate the documented procedures to move the critical processes to an unaffected workstation. d) Verify that the procedures include such things as the required workstation configurations, drive mappings, printer connections, etc. 		
	<p>New users are exposed to security and usage concepts. Training, memos, and policies are in place to provide users with an “acceptable use” framework.</p> <p><u>Audit Steps:</u></p> <ul style="list-style-type: none"> a) Discover what techniques are employed to instill security consciousness and workstation training in the user community. b) Resolve level of orientation by requesting copies of memos, training plans, and a policy document. 		
	<p>Administrative procedures for managing user ID’s configuration exist to mitigate the risk of users obtaining inappropriate access to system resources. Managers should be responsible for approving and completing the service request form for access to Unix & Novell systems. In addition, standard UNIX & Novell access models should be copied to a new user file to grant access. <small>Unix, Novell</small></p> <p><u>Audit Steps:</u></p> <ul style="list-style-type: none"> a) Verify that standard procedures are followed regarding the addition and deletion of users in the operating system. 		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>Adequate procedures exist for reviewing access of individuals who no longer require access. No unnecessary user IDs should remain on the system. <small>Unix, Novell</small></p> <p><u>Audit Steps:</u></p> <p>a) Verify that procedures for periodic review and removal of inactive accounts from the system exist.</p>		
	Manage Deployment - Proactive Policies.		
	<p>All users are identified with a unique user ID so that users can be held accountable for their actions. A procedure should exist, and be consistently followed, to issue unique user IDs. <small>Unix, Novell</small></p> <p><u>Audit Steps:</u></p> <p>a) Verify that all users are required to enter a unique user ID, to gain system access.</p> <p>b) Confirm that a documented procedure exists to ensure user ID uniqueness.</p>		
	<p>Users are required to change their passwords periodically. <small>Novell</small></p> <p><u>Audit Steps:</u></p> <p>a) Verify that system settings require the user to change their passwords periodically, a recommended setting is between 30 than 90 days.</p>		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>Unauthorized individuals may gain access to production resources via unattended workstations. Workstations should be unavailable to non-employees via access restrictions to work areas. All workstations should be equipped with a password protected screen saver.</p> <p><u>Audit Steps:</u></p> <p>a) Determine through inspection, if controls are in place to prevent unauthorized individuals from viewing unattended workstations. Workstation monitors should be faced at angles which prevent non-employee viewing, keyboards should be out of non-employee reach.</p> <p>b) Test for screen saver usage by selecting StartMenu / Settings / ControlPanel / Display / Screen Saver Tab. Verify that a screen saver is selected and that "password protected" is enabled. Suggested "wait time" is 5 minutes or fewer.</p>		
	<p>Concurrent network connections are limited to one, unless multiple connections are specifically required by the users job functions. Having multiple connections specified enables unauthorized users to access compromised user IDs while the user is logged on. ^{Novell}</p> <p><u>Audit Steps:</u></p> <p>a) Ensure that users cannot retain logged in network connections at unoccupied workstations.</p>		
	<p>All users should be required to type a confidential password to enter the system. ^{Unix, Novell}</p> <p><u>Audit Steps:</u></p> <p>a) Verify that all users are required to enter a confidential password to gain system access.</p>		
	<p>Users are only allowed to login during normal business hours, unless a specific business need dictates otherwise. Lack of time restrictions leaves the system open to unauthorized access during times when monitoring may be relatively low.</p> <p><u>Audit Steps:</u></p> <p>a) Verify that time restrictions are in place on the file server.</p>		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>File Servers and network equipment are located in a physically secure room. Access to the room should be restricted to authorized personnel and monitored accordingly. ^{Novell}</p> <p><u>Audit Steps:</u></p> <p>a) Verify that physical and procedural controls exist to prevent unauthorized access to system hardware components. Examples of physical controls include door locks and badge-swipe access systems to hardware areas. Examples of procedural controls include access sign-in sheets and designation of authorized system maintenance staff.</p>		
	<i>Monitoring Events – Reactive Processes.</i>		
	<p>Attempted logons by unauthorized users may go unnoticed if audit logs are not adequately reviewed. Mechanisms should be in existence to capture security log information from the various workstations.</p> <p><u>Audit Steps:</u></p> <p>a) Determine through discussions with the distribution center manager, what techniques are employed to audit workstation login attempts.</p> <p>b) If workstation security auditing is enabled, verify that audit logs are being reviewed periodically.</p> <p>c) If workstation auditing is not enabled, investigate third-party solutions (i.e. Win-Secure-It, OmniGuard Suite, etc..).</p>		
	<p>Failed login attempts are detected and logged so that the organization is able to review information that may indicate possible break in attempts at the operating system level. ^{Unix, Novell}</p> <p><u>Audit Steps:</u></p> <p>a) Ensure that login attempts are written to an audit log and that procedures are developed to periodically review failed login attempts.</p>		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

		COMPLETION	
GBP Ref		WP Ref.	Initials

	<p>There are no unowned files on the file server. Unowned files on the system may indicate an unauthorized individual has gained access to the system. At the very least, this is an indication of the need for system maintenance. On a production server, there should never be any files owned by the <i>nobody</i> ID. ^{Unix}</p> <p><u>Audit Steps:</u></p> <p>a) Verify that the system is periodically reviewed for any files that are owned by 'nobody.'</p>		
	<p>Security Administrators periodically review user activity logs, user lists, and last used dates to identify inactive user IDs. Unused login IDs are potential sources of unauthorized logins and are an unnecessary burden to security administration. ^{Novell}</p> <p><u>Audit Steps:</u></p> <p>a) Verify that user ID activity is monitored and reviewed.</p>		
	Technology Solutions and Architecture - Protection and Support.		
	<p>Without adequate power on protection, unauthorized individuals may appropriate system resources. A power on password (BIOS password) should be required for all workstations.</p> <p><u>Audit Steps:</u></p> <p>a) Determine through inspection, if BIOS passwords are enabled.</p> <p>b) Verify existence of BIOS passwords by power cycling the workstation. If BIOS password is enabled, the system will prompt for a password before booting.</p> <p>c) BIOS passwords can be enabled by entering the system BIOS configuration screen (instructions to do so are typically given at system power-up, i.e. DEL or F3 keys).</p>		

Snap-on
Work Program
Review of Controls Over the Global Best Practices Process
Manage BAAN Distribution Center

GBP Ref		COMPLETION	
		WP Ref.	Initials

	<p>System resources should be available for use and free from any abnormalities. Virus protection software should be used for all workstations.</p> <p><u>Audit Steps:</u></p> <p>a) Determine through discussions with the distribution center manager, what techniques are employed to prevent virus manifestation.</p> <p>b) Verify virus protection is loaded on the workstations.</p>		
	<p>Anonymous FTP is not allowed in a production environment, unless absolutely necessary. If FTP is used, the <i>ftpusers</i> file is utilized to restrict users from accessing FTP. The <i>ftpusers</i> file is employed to denote all accounts that are not allowed to use FTP and should therefore contain all system IDs, e.g., root, bin, uucp, etc. ^{Unix}</p> <p><u>Audit Steps:</u></p> <p>a) Verify that FTP is administered appropriately so that undefined users cannot inappropriately transfer critical data files.</p>		
	<p>Intruder Detection is enabled on the network operating system. If intruder detection is not reasonably set unauthorized login attempts may not be detected. ^{Novell}</p> <p><u>Audit Steps:</u></p> <p>a) Verify that intruder detection is enabled on the file server. The number of invalid login attempts and the period over which it applies should be set to 3 consecutive invalid login attempts causing the user to be locked out indefinitely. Only the administrator should re-enable a locked out account.</p>		
	<p>Connectivity to BAAN is redundant. Multiple network paths should exist. Dual access circuits should be purchased from different providers (e.g. TCG, Ameritech, MCI, etc.). Spare configured network equipment (Router, CSU\DSU, etc.) should be available, in the event of component failure.</p> <p><u>Audit Steps:</u></p> <p>a) Determine through discussions with the distribution center manager, what contingencies are in place.</p>		