



**IT CERTIFICATION SERVICES**  
Device Audit Checklist

Document : BDCS(A)-03-11

Issue: 01 dated. 13.09.2013

Revision 00 dated.

Page No: 1 of 7

**Approval and Issue**

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Approved by : \_\_\_\_\_  
**Chief Executive Officer**

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**Amendment Record**

Amendment No.	Date of Amendment	Nature of Amendment	Page Ref.



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**Supplier:**

**Supplier Address:**

**Date of Audit:**

**Auditor(s):**

**Auditee:**

**Audit Type:** Initial / Surveillance/Reassessment/special visit

**CHECKLIST**

S. No.	Audit parameter	Observation	Remarks
1.	Management functions Document control/Changes to documents, Internal audit, Management review, Outstanding issues as identified in previous assessment report, customer complaints & supplier response.		
2.	Event logging/ consolidation/ Grouping e.g. organizing events based on device models, sites/installations, business processes/units, departments/ organizations/ geographic regions, global (bird's eye view), <b>for the type of</b>		



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	<b>defects reported</b>		
3.	Event/alert analytics capable of detecting and diagnosing critical events (alerts) and <b>root-causes for reported defects</b>		
4.	Corrective actions capability of setting/changing a parameter or triggering an action in the monitored device (including maintenance facility – <b>ask for list devices available/ record of corrective actions taken</b> ) -Internal audit NCs -External audit NCs -Customer complaints		
5.	Inventory/record of biometric Installations keeping lists of geographically spread biometric sites and installations with detailed information about them (ask for <b>detail record</b> such as : <ul style="list-style-type: none"><li>• address,</li><li>• contact</li></ul>		



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	<p>list for each organization,</p> <ul style="list-style-type: none"><li>• installation type and location,</li><li>• Device model</li><li>• type,</li><li>• serial number,</li></ul> <p>Comments, etc.)</p>		
6.	<p>Configuration/customization Shall be able to demonstrate configuration control over various device sensor/software versions of API/DLL (<b>ask for records/logs</b> )</p>		
7.	<p>API technology Shall have the facility to test and maintain the APIs/DLLs as per the latest API specifications released by UIDAI (<b>ask for test harness/test reports</b>)</p>		
8.	<p>Updates, maintenance, and support Vendor shall ensure that new APIs are released on time and made</p>		



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	available to the Enrolment / Authentication Agencies ( <b>ask for records/logs/emails</b> )		
9.	Supply & Distribution records Lists & Records ( <b>ask for distribution records/logs/emails</b> )		
10.	Training imparted to user agencies & trained manpower within office Lists & Records : <ul style="list-style-type: none"><li>• Record of trainings imparted</li><li>• List of trained employees within office</li></ul>		
11.	Continuity of Service To see if vendor has agreements in place with the manufacturer to provide maintenance for the devices sold in the market. <b>(Ask for Exit management Plan, if any,</b> for the extreme condition that the vendor decides to		



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	close the biometric business)		
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Recommendation

Outstanding issue (if any)

Signature of audit team

Signature of Supplier