Survey Questionnaire for IT Applications

**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”.

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**Form 1**

1. Name of the auditee organisation:

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

   3. Department Head of the auditee organisation

<table>
<thead>
<tr>
<th>Name</th>
<th>Phone No.</th>
<th>Email</th>
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<tbody>
<tr>
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4. Information Systems In-charge

<table>
<thead>
<tr>
<th>Name</th>
<th>Phone No.</th>
<th>Email</th>
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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\(^6\) □
- Essential system\(^7\) □

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.)

11. When was the system made operational? __________________________

\(^6\) 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.

\(^7\) An essential system is an IT system the loss of which cause disruption of some service without disrupting primary services.

Office of the Comptroller and Auditor General of India
12. What is the total investment on the IT system project? Indicate the amount in lakhs of rupees against each item:\textsuperscript{a}:

\begin{tabular}{l|c}
\hline
Hardware items & \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\
Proprietary software & \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\
Application System development cost & \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\
Manpower training cost & \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\
Maintenance of the all components (recurring) & \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\
\hline
\end{tabular}

\textsuperscript{a} If exact figures are not readily available, approximate figures may be provided.

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

\begin{itemize}
\item 1 – 10 □
\item 11 – 25 □
\item 26 – 50 □
\item 51 – 100 □
\item > 100 □
\end{itemize}

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 documentation manual
   Yes □ No □

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 □
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)