

# UNIT-IV: Audit Control

# 04

OPERATIONAL SECURITY




## Technical Audit Controls

Unit IV focuses on the technical implementation of security across networks and operating systems.

Key topics include firewall management, internet banking risks, and operational control monitoring.

# Network Security Mechanisms

Auditors verify the implementation of critical network safeguards:

-  **Firewalls:** Traffic filtering between zones.
-  **IDS/IPS:** Real-time intrusion monitoring.
-  **VPN:** Secure remote access tunnels.

 Network Tunnel and Firewall

# Internet Banking: Risks & Controls

## Phishing

Malicious sites tricking users for login info.

**Control:** User education and URL verification.

## Malware

Software stealing keystrokes or data.


**Control:** Secure virtual keyboards.

## Access

Unauthorized entry to accounts.

**Control:** OTP and Multi-factor auth.

# Operating System Audit Focus

 **Unauthorized Access:** Ensuring only authorized users can modify system files.

**Virus Infection:** Auditing the efficiency of local antivirus policies.

 **System Crashes:** Reviewing uptime logs and failover mechanisms.

# Operational Control Overview

## Daily Monitoring

Verifying that monitoring systems are checking hardware health and environmental factors.

## Account Management

Auditing the creation, maintenance, and deletion of user credentials.