

## Activities for Configuring User Traceability

Functions: Project design &amp; construction

Codes for steps: TE01-TE11

Source: SE77, SE78, SE79(Annex 31A)

(Refer Chapter:7)

<b>List of Steps/Activities</b>	Codes for steps and (no of activities)	Function applicable	Responsibility
<p><b>Compiling the following lists of allocated codes</b> (both identified by author &amp; expandable by users) and forwarding them to the IT team /agency responsible for developing user traceability software</p> <ul style="list-style-type: none"> <li>● Core processes, activities, documents, fields, manuals</li> <li>● Statutory processes activities, documents, fields, manuals</li> <li>● Process for developing Configuration tables, activities for developing &amp; table names</li> <li>● Process for developing Master data tables, activities for developing &amp; table Names</li> </ul>	TE01	All, similar	Core team nominated by each HOD

<ul style="list-style-type: none"> <li>● Risk assessment processes for-Organisation level, core process' level &amp; activity level &amp; their respective activity for carrying out risk assessments</li> <li>● Risk assessment processes for-Statutory process' level, activity level &amp; their respective activities for carrying out risk assessments</li> <li>● Risk assessment processes for-Configuration table's level, Field's level &amp; their respective activities for carrying out risk assessments</li> <li>● Processes &amp; activities for assigning access rights to core processes &amp; their activities, statutory processes &amp; their activities, Configuration tables &amp; their fields, Master data tables &amp; their fields</li> <li>● Profiles for Core processes, statutory processes, configuration tables &amp; master data tables</li> <li>● Other supporting processes &amp; their codes</li> </ul> <p>For each aspect listed above, codes are captured in annex 40(2), 40(3), 40(4), respectively, for each of the three functions.</p>			
<p>Identifying a <b>list of users</b> (in consultation with HR team) in respective functions who are to be given "Need-based access" vis a vis TE01 &amp; forwarding these to the IT team /agency responsible for developing user traceability software. This, of course, is guided by factors such as:</p> <ul style="list-style-type: none"> <li>● Competence/skills of the individual user</li> <li>● Subfunction, level &amp; position of the individual user</li> <li>● Nature of activity (strategic/policy related or day to day operational)</li> </ul>	TE02	All, similar	Core team nominated by each HOD

<ul style="list-style-type: none"> <li>• Risks associated and reflected in profiles</li> </ul>			
<p>Compiling <b>user wise various software licenses</b> that are available <b>in each function</b> &amp; post review of the list by HOD, forwarding to IT team/agency, to capture user access &amp; traceability</p>	TE03	All, similar	Core team nominated by each HOD
<p>Accordingly, the IT team develops software solutions in-house or negotiates &amp; procures ERP solutions having inbuilt <b>“user traceability software” and activating operating system</b>, as per requirements consolidated for <b>each function</b> vis a vis TE01, TE02&amp; TE03. The proposed <b>“user traceability software”</b> software must include the following features:</p> <ul style="list-style-type: none"> <li>• User’s Name and code</li> <li>• Function ’s /sub function Name and code</li> <li>• Identification number or Serial number of Computer or and terminal or and printer or any other device used by the user for accessing processes, activities, configuration tables, master data tables and fields</li> <li>• ERP/Software Transaction code or &amp; Navigation accessed</li> <li>• Date &amp; time</li> <li>• Group identity name &amp; code (in case of multiple users) where software license used by multiple users.</li> </ul>	TE04	All, similar	IT/ERP-HOD

<p>The proposed solution is to have the flexibility for expandability or enhancement for including all functions in the organisation.</p>			
<p>IT/ERP specialists, installing “<b>user traceability software</b>” in in development, testing &amp; production servers, and assigning user access rights vis a vis following:</p> <ul style="list-style-type: none"> <li>● Profiles for Access rights to Core processes &amp; core activities: Annex 30A</li> <li>● Profiles for Access rights to Statutory processes &amp; activities: Annex 30B</li> <li>● Profiles for Access rights to Configuration tables &amp; fields: Annex 30C</li> <li>● Profiles for Access rights to Master data tables &amp; fields: Annex 30D</li> <li>● Core &amp; Statutory documents &amp; fields (Annex 22 A &amp; 23A)</li> <li>● Functional, Statutory &amp; similar type manuals (Annex 17,18 &amp;19)</li> <li>● Other processes (Annex 32A &amp;32B, 33A &amp;33B, 34A &amp;34B, 35A &amp;35B, 36A &amp;36B, 37A &amp;37B, 38A &amp;38B)</li> </ul>	TE05	All, similar	IT/ERP-HOD
<p><b>Identifying &amp; transferring pilot data</b> (vis a vis aspect listed in activity TE05) and testing in “test server “while ensuring no conflicts in accessing of following:</p> <ul style="list-style-type: none"> <li>● Profiles identified in TE05</li> <li>● Core &amp; Statutory documents &amp; fields identified in TE05</li> </ul>	TE06	All, similar	IT/ERP-HOD

<ul style="list-style-type: none"> <li>• Functional, Statutory &amp; similar type manuals identified in TE05</li> <li>• Other processes identified in TE05</li> </ul> <p>And so on</p>			
<p><b>Training</b> Each Functional team Obtaining training (along with internal audit team) from IT team /ERP specialists for tracking user traceability</p>	TE07	All, similar	Users & Internal audit -teams
<p><b>legacy data</b> After that, ERP specialists transfer validated legacy data of respective function vis a vis TE04 to TE06 to live Production Server &amp; integrate live data with user traceability software.</p>	TE08	All, similar	IT/ERP-HOD
<p>utilising user traceability software Users in each function &amp; or internal audit teams or &amp; risk management team utilising user traceability software to track user traceability as &amp; when needed</p>	TE09	All, similar	Users & Internal audit -teams
<p>IT/ERP team Enhancing features of <b>user traceability software</b> and improving its scalability as &amp; when numbers of users or &amp; IT equipment or &amp; software increasing</p>	TE10	All, similar	IT/ERP-HOD
<p>As &amp; when any changes occur vis a vis following, intimating to IT/ERP team for updating the same in <b>user traceability software</b>.</p> <ul style="list-style-type: none"> <li>• User's transfers or promotions or recruitment or leaving the organisation</li> <li>• Responsibility changes &amp; associated changes in accessing licensed Software</li> </ul>	TE11	All, similar	Each HOD

<ul style="list-style-type: none"> <li>• IT equipment’s physical movements intra function or inter function or business &amp; new acquisition or disposal</li> <li>• Profile changes</li> </ul>			
Additional activities proposed <b>per function</b> for meeting future activity requirements of any function for <b>“configuring user traceability.”</b>	TE13, TE14, TE15	@1/function	

**Note:** Annex numbers 17, 18, 19, 22A, 23A, 30A, 30B, 30C,30D, 40(2), 40(3), 40(4) are a part of the **handbook in Ethics -Volume 1**. The remaining activity codes are reserved for other functions