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**STANDARD OPERATING PROCEDURE: CREATE BAS SYSTEM USER ACCOUNT**

<b>TITLE OF SOP</b>	CREATE BAS SYSTEM USER ACCOUNT
<b>SOP Number</b>	FSA-BAS-01
<b>Purpose</b>	The purpose of this SOP is to define and outline the roles and responsibilities of the various BAS role-players and provide standard guidelines regarding management, access, and usage of the BAS in Eastern Cape Department of Social Development.
<b>Scope</b>	This SOP is applicable to all users of the Basic Accounting System at Eastern Cape Department of Social Development.

<p><b>Definitions and Acronyms</b></p>	<p><b>BAS:</b> Basic Accounting System</p> <p><b>Departmental code file:</b> Codes that are unique to the specific department</p> <p><b>System Controller:</b> An employee who is responsible for registering and maintaining user profiles of users under his/her control, and also ensures that users are equipped with the required tools, support and training to perform their duties effectively and efficiently on the System.</p> <p><b>Departmental Parameters:</b> Departmental Parameters contain values that are specific to the department which are maintained by the department's System Controller. The department has a choice to alter these parameters according to its own needs</p> <p><b>Function:</b> The task that is allocated to the user</p> <p><b>Group Profiles:</b> A group of users based on a common function that a user requires ID: A unique code allocated to a user in order to access the system(s)</p> <p><b>Over Expenditure Authorizers / Supervisors:</b> A user who is responsible for overriding budget block</p> <p><b>POC:</b> Period Open and Close journals that are affected at final year end closure of BAS system, with the authorization from the Auditor General's office.</p> <p><b>SCoA:</b> Standard Chart of Accounts; this is a chart with the list of all Accounts used within Government as a whole</p> <p><b>Suspense Control Accounts:</b> System control accounts, which must have zero balances at month and year-end closure</p> <p><b>Suspense File Transaction:</b> A transaction that has the status of awaiting approval/ authorization or disapproval/rejection</p> <p><b>Transversal Systems:</b> BAS, PERSAL and LOGIS</p> <p><b>User:</b> An employee/person who applied or has a user ID to access the BAS system</p> <p><b>User Profiles:</b> The level of access required by a user</p>
<p><b>Performance Indicator</b></p>	<p>Number of credible Financial Statements</p>

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**STEP BY STEP GUIDE  
CREATE BAS USER ACCOUNT**

Nr	Task Name	Task Procedure	Responsibility	Time Frame	Supporting Documentation	Service Standard
1.	<b>Request access</b>	<ul style="list-style-type: none"> <li>• Print BAS new user application or termination of user form from Knowledge Hub/ request the form from the office through the e-mail.</li> <li>• Supervisor indicate the function of the user.</li> <li>• Submit duly completed signed form by all relevant parties to BAS system support office.</li> </ul>	User	1 Day	<ul style="list-style-type: none"> <li>• BAS basic principles certificate</li> <li>• Copy of ID</li> <li>• User PERSAL printout</li> <li>• Completed signed BAS access request form</li> </ul>	Create all trained users on BAS within 30 minutes after the user has received the Basic principles of BAS course certificate.
2.	<b>Analyze user request</b>	<ul style="list-style-type: none"> <li>• Verify the received application form if it is captured correctly and also if all the required documents are attached.</li> <li>• Verify if the user requested the relevant access type:               <ul style="list-style-type: none"> <li>○ Processing of transactions on the system</li> <li>○ Online enquiries and report request</li> </ul> </li> <li>• Determine the user requested function to grant access               <ul style="list-style-type: none"> <li>○ Budget maintenance</li> <li>○ Debt maintenance</li> <li>○ Journal processing</li> <li>○ Entity maintenance</li> <li>○ Payments</li> <li>○ Online enquires and reports</li> <li>○ Receipt</li> </ul> </li> <li>• Determine the IP range for the applicant based from the office allocation</li> <li>• Ensure that all the IP addresses are within the registered range with National Treasury.</li> <li>• Communicate with IT team of the relevant applicant office to register the IP address on the applicant workstation.</li> </ul>	BAS Systems Controller	30 minutes	<ul style="list-style-type: none"> <li>• Completed signed BAS new user application form</li> <li>• Signed analyzed user application form with date</li> </ul>	

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**STEP BY STEP GUIDE  
CREATE BAS USER ACCOUNT**

Nr	Task Name	Task Procedure	Responsibility	Time Frame	Supporting Documentation	Service Standard
3.	<b>Create user</b>	<ul style="list-style-type: none"> <li>• Login to BAS</li> <li>• Create unique user identification (Persal No) to identify the user and link it to the action or function</li> <li>• Standardize the user ID for consultants to use 8 digits of the R.S.A I. D number and for foreigner to use 8 digits of the passport number.</li> <li>• Assign the relevant user to the relevant workflow group:               <ul style="list-style-type: none"> <li>○ Budget Management</li> <li>○ Debt maintenance</li> <li>○ Journal processing</li> <li>○ Entity maintenance</li> <li>○ Payments</li> <li>○ Receipt</li> <li>○ Enquiry and reports</li> </ul> </li> <li>• Standardize password control in compliance with National Treasury, BAS notice 5 of 2010 to password length of at least (8) characters and must consists of a combination of numeric and alphabetical characters.</li> <li>• Standardize password expiry in compliance with National Treasury, BAS notice 5 of 2010 to password expiry period be not more than 30 days.</li> </ul>	BAS system controller	30 minutes	<ul style="list-style-type: none"> <li>• Signed analyzed user application form with date</li> <li>• System generated report with user profile</li> </ul>	
4.	<b>Notify the user and administer the form</b>	<ul style="list-style-type: none"> <li>• Issue a written statement to the user explaining the access rights.</li> <li>• User sign the statement indicating the understanding of the conditions under which access is granted.</li> <li>• Inform the applicant about the creation telephonically that he has 30 minutes to create individual password.</li> <li>• If this period lapses the BAS system will automatically deactivate the user online enquires and reports</li> <li>• Complete and sign "for office use" fields.</li> <li>• File the reset request form</li> </ul>	BAS System controller	1 day	<ul style="list-style-type: none"> <li>• System generated report with user profile</li> <li>• Written Statement</li> <li>• Signed written statement</li> <li>• Filed signed-off BAS user creation or modification form</li> </ul>	

**STEP BY STEP GUIDE  
CREATE BAS USER ACCOUNT**

Nr	Task Name	Task Procedure	Responsibility	Time Frame	Supporting Documentation	Service Standard
5.	<b>Monitor BAS created user accounts</b>	<ul style="list-style-type: none"> <li>• Develop monitoring report and submit the Director: Financial Systems and Accounting Services quarterly that indicates the following:               <ul style="list-style-type: none"> <li>✓ Extract created BAS user accounts</li> <li>✓ Ensure that access to new/current users who have not completed the required formal training in accordance with his/her profile is limited/ refused access.</li> <li>✓ Indicate system assessment versus training stats on functional areas to which users have access.</li> <li>✓ Provide the Provincial Treasury with a certificate of compliance to indicate that all active users on the BAS system are true reflection of the Department's officials who are permitted access in accordance with profiles on the BAS systems quarterly.</li> <li>✓ Indicate Identification and investigation of repeated failed login attempts.</li> <li>✓ Indicate investigation of any blocked or suspended user ID.</li> <li>✓ Indicate inactive users and corrective action to be taken after predefined period of inactivity.</li> </ul> </li> </ul>	BAS System Controller	2 days	<ul style="list-style-type: none"> <li>• System generated report with user profile</li> <li>• BAS created account monitoring report</li> </ul>	

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**PROCESS RISKS**

Risk Name	Risk Description	Probability (H / M / L)	Impact (H / M / L)	Control Description	System / Manual
<b>Password Sharing between users</b>	When one user shares password information with another user can lead to compromise of confidentiality, integrity and authenticity.	L	M	<ul style="list-style-type: none"> <li>• Include instructions of password maintenance on creation and reset form by BAS System controller.</li> <li>• ICT security awareness session by BAS Systems controller.</li> <li>• Amend user creation and user password reset form to enhance security measures.</li> </ul>	Manual

**REFERENCES (LEGISLATION, POLICIES, PROCEDURES, LEGISLATION & OTHER DOCUMENTATION (i.e. SOPs)**





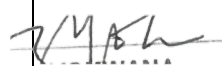

Document Name	Section Description or Document Description
<b>PFMA Section 38(1)(a)(i)</b>	<p>PFMA Section 38(1)(a)(i) states that The Accounting Officer must ensure that the department, trading entity or constitutional institution has and maintains effective and transparent systems of financial and risk management and internal control.</p> <p>PFMA Section 38(1)(b) states that the Accounting Officer is responsible for the effective, efficient, economical and transparent use of the resources of the department, trading entity or constitutional institution.</p> <p>PFMA Section 40(1)(a) states that the Accounting Officer must keep full and proper records of the financial affairs of the department, trading entity or constitutional institution in accordance with any prescribed norms and standards.</p>
<b>DSD Privacy Policy 2021</b>	<p>To protect Department of Social Development from the complicate risks associated with the protection of personal information which includes:</p> <p><b>Breach of confidentiality.</b> For instance, Department of Social Development could suffer loss in credibility and trustworthy where it is found that the personal information of data subjects has been shared or disclosed inappropriately.</p> <p><b>Failing to offer choice.</b> For instance, all data subjects should be free to choose how and for what purpose Department of Social Development uses information relating to them.</p> <p><b>Reputational damage .</b> For instance, Department of Social Development could suffer a reputational damage following an adverse event such as a computer hacker deleting the personal information held by Department of Social Development.</p>
<b>Protection of Personal Information (Act no.04 of 2013)</b>	<p>Section 9 Lawfulness of processing states that (1) Personal information must be processed (a) lawfully; and (b) in a reasonable manner that does not infringe the privacy of the data subject.</p> <p>Section 10 states that Personal information may only be processed if, given the purpose for which it is processed, it is adequate, relevant and not excessive.</p> <p>Section 11 states that Personal information must be collected directly from the data subject, except as otherwise provided for in subsection (2).</p> <p>Section 14 Retention and restriction of records states the following:</p> <p>14.(1) Subject to subsections (2) and (3), records of personal information must not be retained any longer than is necessary for achieving the purpose for which the information was collected or subsequently processed, unless—</p> <ul style="list-style-type: none"> <li>(a) retention of the record is required or authorised by law;</li> <li>(b) the responsible party reasonably requires the record for lawful purposes related to its functions or activities;</li> <li>(c) retention of the record is required by a contract between the parties thereto; or</li> <li>(d) the data subject or a competent person where the data subject is a child has consented to the retention of the record.</li> </ul> <p>Records of personal information may be retained for periods in excess of those contemplated in subsection (1) for historical, statistical or research purposes if the responsible party has established appropriate safeguards against the records being used for any other purposes.</p> <p>A responsible party that has used a record of personal information of a data subject to make a decision about the data subject, must—</p> <ul style="list-style-type: none"> <li>(a) retain the record for such period as may be required or prescribed by law or a code of conduct; or</li> </ul>

Document Name	Section Description or Document Description
	<p>(b) if there is no law or code of conduct prescribing a retention period, retain the record for a period which will afford the data subject a reasonable opportunity, taking all considerations relating to the use of the personal information into account, to request access to the record. A responsible party must destroy or delete a record of personal information or de-identify it as soon as reasonably practicable after the responsible party is no longer authorised to retain the record in terms of subsection (1) or (2). The destruction or deletion of a record of personal information in terms of subsection (4) must be done in a manner that prevents its reconstruction in an intelligible form.</p>
<p><b>Provincial Basic Accounting System Policy 2013</b></p>	<p>To define and clarify roles and responsibilities of the various BAS role players and provide standard guidelines regarding management, access and usage of the BAS in the Eastern Cape provincial departments. The appropriate implementation and use of BAS in the province is critical to ensure that;</p> <ul style="list-style-type: none"> <li>• The system is not accessed by unauthorized persons (confidentiality).</li> <li>• Information on BAS is not altered by unauthorized persons in a way that is not detectable by authorized persons users (integrity).</li> <li>• Users of BAS are the persons who they claim to be (authentication).</li> </ul>

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**AUTHORISATIONS**

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Recommended by: Acting CIO -	M.E. Gazi			27/06/2023
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Approved by: Head of the Department	M. Machedemba	Approved		14/07/2023
Distribution and Use of SOP	All Departmental staff			