



KWAZULU-NATAL PROVINCE

TREASURY
REPUBLIC OF SOUTH AFRICA

COVER LETTER

**TO: MS N.R.SHEZI
ACTING HEAD OF DEPARTMENT
KZN PROVINCIAL TREASURY**

Dear Acting HOD,

SUBJECT: POLICY FOR BAS USER ACCOUNT MANAGEMENT

1. Herewith, is the policy for BAS User Account Management prepared for request of the acting HOD's signature.
2. The current approved policy was assessed by the Auditor-General and discussed with the Chief Director: Accounting Practices. The AG found the policy to be compatible with Cobit Framework and they have endorsed it. The Cobit Framework is the standard used by AG for assessment.

Regards,

.....
MR B.K.MQADI

DIRECTOR: SUPPORTING AND INTERLINKED FINANCIAL SYSTEMS

DATE: 12 March 2024
.....



treasury

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KWAZULU-NATAL PROVINCIAL TREASURY

POLICY FOR BAS USER ACCOUNT MANAGEMENT

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1. INTRODUCTION

This policy is based on the good user account management practices prescribed by the International Organisation for Standardisation; the International Electro Technical Commission on Information Technology; the Code of Practice for Information Security Management (ISO/IEC 27002:2005); the Information Systems Audit and Control Association's guideline on access controls (G38) and COBIT 5(EDM01.03).

2. OBJECTIVE

The objective of this Policy for BAS User Account Management is to provide guidelines on how to regulate the management of user accounts of personnel of the department who require or have access to the Basic Accounting System (BAS).

3. SCOPE AND APPLICATION

This policy applies to all potential BAS users, BAS users and their immediate supervisors.

4. LEGAL FRAMEWORK

The legislation and guidelines that apply to this Policy:–

- a) The Public Finance Management Act (PFMA), Act 1 of 1999 as amended.
- b) The Treasury Regulations issued in terms of the PMFA.
- c) Public Service Act, 1994 as amended.
- d) Public Service Regulations.
- e) Financial Manual as published by the Department of Public Service Administration (DPSA) from time to time.
- f) BAS Notices addressed to BAS SYSCONS by National Treasury from time to time.
- g) Parameters determining security settings of BAS, issued by National Treasury.

5. DEFINITIONS AND TERMS

“BAS” means the BASIC ACCOUNTING SYSTEM, the financial system used by Provincial Departments.

“Line Manager” refers to the BAS users' immediate supervisor.

“BAS SYSCON” refers to the user registered at National Treasury to make use of the SYSCON BAS user ID.

“Non-anglicised characters” examples are η, ə and ā

6. APPLICATION FOR A NEW BAS USER ACCOUNT

- 6.1 A new BAS user (applicant) will complete a BAS User Application Form (*Annexure A*).
- 6.2 The functions selected on the BAS User Application form must be in line with the duties contained on the BAS user's job description.
- 6.3 The request form must be signed by the Line Manager of the applicant and submitted to the BAS SYSCON.
- 6.4 The BAS SYSCON will create the new BAS user account and sign the application form.
- 6.5 The PERSAL number of the individual will be used as the BAS User ID. On occasions where a PERSAL number is not allocated as yet, ID numbers (excluding the last digit) may be used.
- 6.6 Interface BAS User ID's will be created to identify and describe the interface where possible. Specific BAS user ID's may be created as per instructions received from National Treasury.
- 6.7 The BAS SYSCON will inform the applicant of his/her BAS user name and BAS password.
- 6.8 The BAS User Application Form must be filed.
- 6.9 The application for a new BAS user account must be dealt with in conjunction with the BACS policy, section 6.1, together with the respective BACS forms.

7. AMENDMENT TO AN EXISTING BAS USER ACCOUNT

- 7.1 The BAS user (applicant) will complete a BAS User Application Form (*Annexure A*).
- 7.2 The functions selected on the BAS User Application form must be in line with the duties contained on the BAS user's job description.
- 7.3 The request form must be signed by the Line Manager of the applicant and submitted to the BAS SYSCON.
- 7.4 The BAS SYSCON will amend the BAS user account and sign the application form.
- 7.5 The BAS SYSCON will then inform the BAS user that the amendment has been effected.

8. TERMINATION OF A BAS USER

- 8.1 The Line Manager must submit the BAS User termination form (*Annexure B*) via email to the BAS SYSCON to remove the BAS user ID from BAS, upon death; retirement; resignation or transfer.

- 8.2 The BAS SYSCON will implement the request to remove the BAS user ID from BAS and inform the Line Manager of the action taken.

9. PASSWORD RESETS

- 9.1 When BAS users are unable to reset their own BAS passwords, a request for password resets must be submitted to the BAS SYSCON via email.
- 9.2 The individual will be informed by the BAS SYSCON via email that the reset of the BAS password has taken place.
- 9.3 Emails are to be archived by the BAS SYSCON.
- 9.4 When BAS users are able to reset their own BAS passwords, 10 preset questions activated in BAS is required to be answered by the BAS user.
- 9.5 The BAS user as well as the BAS SYSCON will receive an email once the BAS user's password has been reset.

10. BAS PASSWORD COMPLEXITY RULES

- 10.1 The password must be unique to the individual and should not be shared.
- 10.2 The password length must be at least seven (7) characters.
- 10.3 The password must be different from at least ten (10) previous used passwords. (The maximum setting is controlled by National Treasury and is currently limited to a maximum of 10 across all departments' country wide).
- 10.4 The password must contain characters from three (3) of the following four (4) classes, but in no specific order: Uppercase, Lowercase, Numerals, Special characters.
- 10.5 The Password cannot contain spaces.
- 10.6 The password cannot contain non-anglicized characters.
- 10.7 Login attempts allowed = 2.
- 10.8 Passwords are valid for 30 days.
- 10.9 Password reset period = 30 minutes.
- 10.10 Password reset lockout period = 24 hours
- 10.11 Minimum questions registered = 10
- 10.12 Reset attempts allowed = 3

11. BAS USER REVIEWS

- 11.1 BAS user reviews will be performed by the BAS users line manager twice a year to ensure that BAS user access rights assigned on BAS are in line with the roles and responsibilities performed by an employee in terms of their job description.
- 11.2 A Group Profile Report will be extracted from BAS by the BAS SYSCON and provided to the BAS user's manager under cover of an official letter.
- 11.3 The BAS user review will be co-ordinated by the BAS SYSCON of Provincial Treasury and will be signed off by at least Director Level.
- 11.4 BAS user review will be conducted in January and July of each year, i.e. twice per year.

12. BAS SYSCON ACTIVITIES

- 11.1 The BAS SYSCON User Activity review will be performed on a monthly basis by the Manager of the BAS SYSCON.
- 11.2 The BAS SYSCON User Activity review will be signed off at least at Director Level.
- 11.3 A BAS User Activity Download Report will be requested from BAS by the BAS SYSCON and downloaded into EXCEL on a monthly basis. The final EXCEL document must only display the BAS SYSCON activities.
- 11.4 Documents received by the BAS SYSCON to perform transactions on BAS must be reconciled by the BAS SYSCON with the various transactions that appear on the EXCEL document.

13. LOGIN ATTEMPTS

- 13.1 BAS will automatically cause a BAS user ID to become inactive after 2 unsuccessful login attempts.
- 13.2 When 2 unsuccessful login attempts have been exceeded, the BAS user will be locked and prevented from attempting to reset their password until the Lockout Period which is set on 24 hours by the BAS SYSCON, has expired.

14. REVIEW OF BAS ACCOUNTS

- 14.1 To prevent dormant BAS accounts, The HR Manager must supply the BAS SYSCON with a report on a monthly basis of all employees who have left the department. Dormant BAS accounts will be removed.

15. THE RELINQUISHING OF THE BAS SYSCON USER ID

- 15.1 The BAS SYSCON User ID is relinquished through filling the BAS/PERSAL RELINQUISHING FORM (BACS-06) in accordance with the BACS procedure manual.
- 15.2 Once the relinquishing has been done, the BAS SYSCON accepts the SYSCON user ID functions by way of the eDNA Client Console on BACS.

16. MONITORING OF TRANSACTIONS CAPTURED ON BAS

- 16.1 The onus is on the supervisor of the BAS user to monitor all BAS transactions captured on BAS.
- 16.2 The onus is on the authorizer of the BAS user to ensure that all BAS transactions are captured correctly on BAS prior to the BAS document being authorized.

17. COMMUNICATION, IMPLEMENTATION, AND REVIEW

- 17.1 As part of the BAS user ID creation process, the content of this policy document will be communicated to all new BAS users of the department.
- 17.2 The compliance of this procedure by the BAS SYSCON will be reviewed by the BAS SYSCONS Manager. The compliance of this policy document will be monitored by the Director by way of scrutinizing the monthly BAS SYSCON user activity report.
- 17.3 This policy document will be reviewed on an annual basis or should the need arise due to changes required in the policy. The next policy document review date will be on 31 March 2023.

18. EFFECTIVE DATE

- 18.1 This policy will be effective as of the date of approval of this procedure manual and replaces any existing departmental policy on BAS user account management prior to this date.

19. ANNEXURES

- ANNEXURE A: BAS USER APPLICATION FORM
- ANNEXURE B: BAS USER TERMINATION FORM

APPROVED BY:



MS N.R. SHEZI
ACTING HEAD OF DEPARTMENT

KZN Provincial Treasury

12 March 2021

DATE