Doc No.: D-SOP/ITG/69
Process Owner: Information Technology Group
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Next Review Date: 30-07-2021

# Standard Operating Procedures

# for

# Application Commissioning and Decommissioning

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## 1.0 Name of standard operating procedure

Operating guidelines for Application Commissioning and Decommissioning

## 2.0 Scope of applicability:

The guidelines on Application Commissioning and Decommissioning lay down the processes to be followed for all IT applications that are being inducted into or being removed from the ICICI Bank technology landscape. This guideline defines the process steps and the associated controls framework implemented for commissioning and decommissioning of an application into ICICI's environment.

## 3.0 Distribution list:

| Name of the Group/Team | Team Head | Team Lead | FPR |
|---|---|---|---|
| IT Governance | Madhavi Purandare | Girish Sunthankar | Ashwin Paldano<br>Vishnu Burra |
| Application Team | Ganesh Balasubramanian | Narayan Gor | Rahul Gupta |
| Business Technology Group | Technology Heads | One down to Technology Heads | SPOC ITG Compliance |
| FARG (ATG) | Ajay Mittal | Gurram Raman | S. Sangana |

## 4.0 Procedures for the Process:

I) Process:

Pre-Commissioning Process: Initial Application procurement

For the detailed process on procurement of an IT application, please refer to process note/operating guideline on 'IT Asset Acquisition and Procurement Process')

Once the application and vendor is finalized, the technology team should raise the application commissioning Service Request (SR) in i-Helpdesk to generate the CAN ID. (This is a unique ID used to identify an application in the Bank)

The APM module in the App360 application is the inventory of all IT applications in the Bank in various phases of their lifecycle. An application in the Bank could be in any of the following phases of the application life-cycle:

1. Pre-commissioning

2. Development
3. User Acceptance Testing (UAT)
4. Production
5. Raised for decommissioning
6. Decommissioned

To induct an application into the Bank's environment, an application commissioning SR has to be raised in i-Helpdesk under the following category:

Internal Process Management -> APP360 -> Application Commissioning

Once the SR is raised, it needs to be approved by the Technology Head and the Business Technology head, following which the App360 team generates the CAN-ID of the application.

Once the CAN-ID is generated, an i-Memo will be prepared/raised by the Technology/TMG team, mentioning the generated CAN-ID and the application name, to seek financial approval for the project and allocate funds for the project. Technology / TMG team will seek appropriate approvals based on the delegation of financial powers (DFP).

Technology / TMG team will fill PO (Purchase order) processing form mentioning the CANID and application name and will submit to the E-procurement team. E- Procurement team will generate and dispatch the PO.

The business team would need to ensure that the process supported by the application is approved by the PAC.

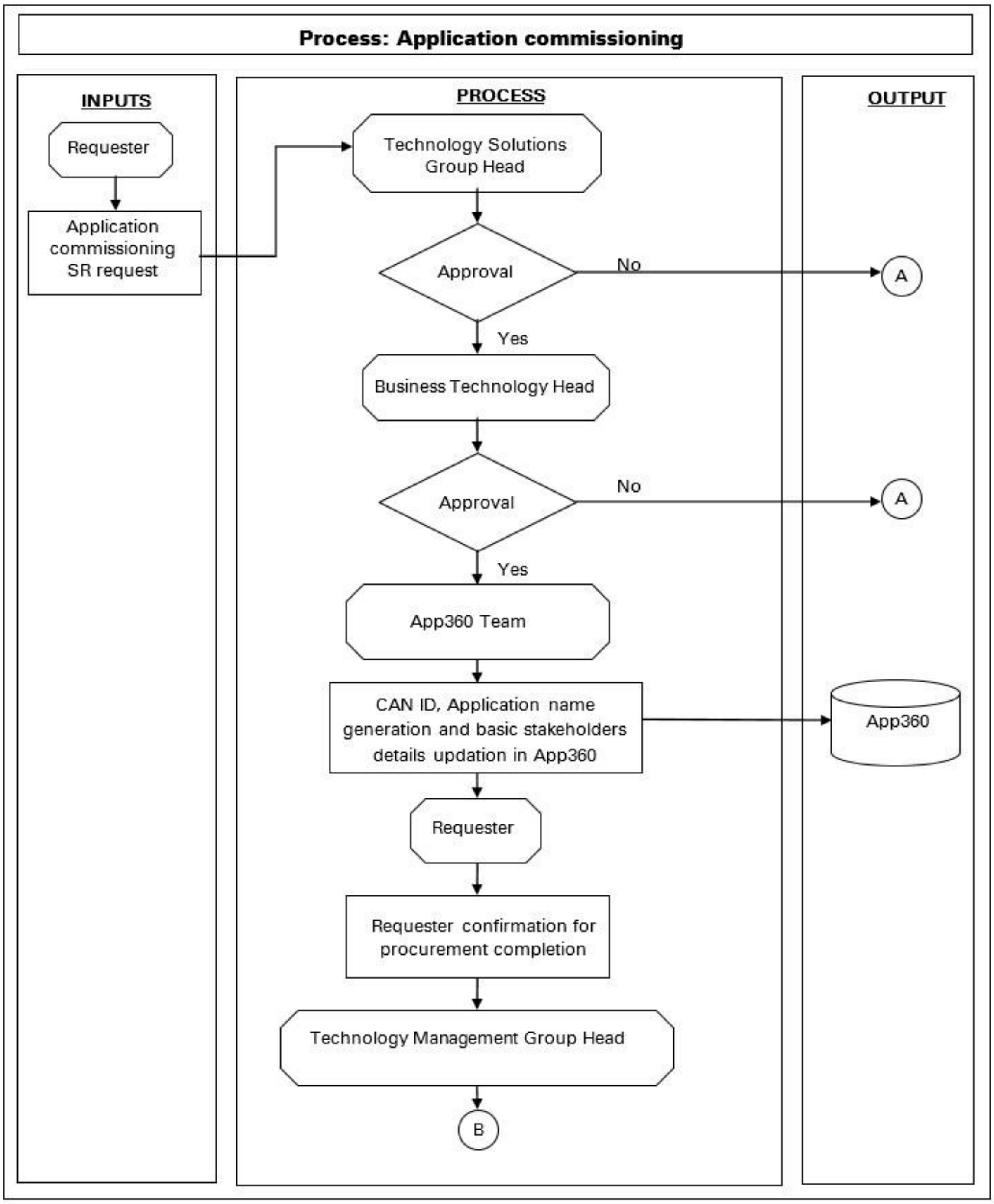
Application Commissioning Process:

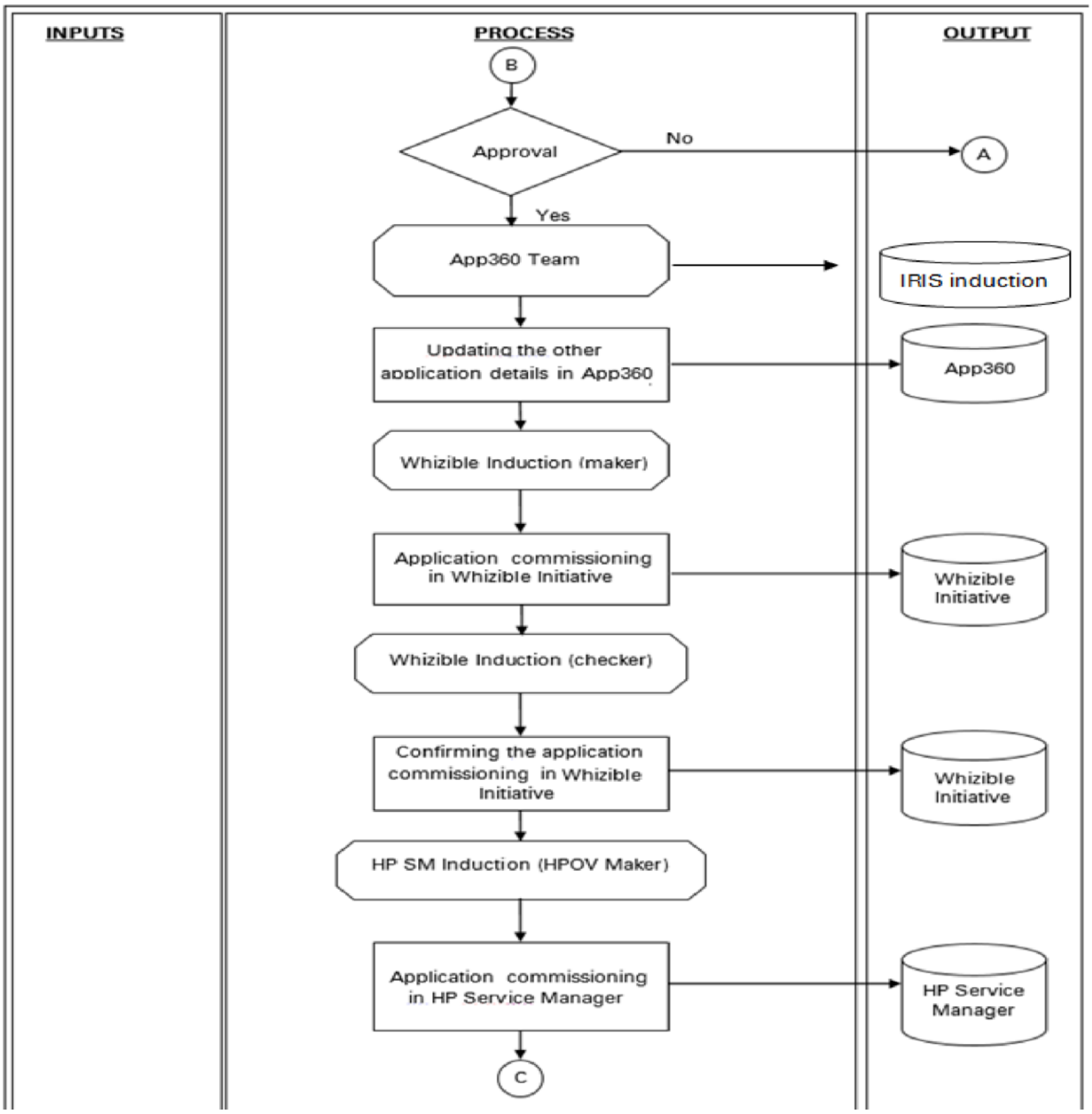
Once the procurement process is completed, TMG Head's approval is required for inducting an application in APM module of App360 application and then for further induction to other control applications.

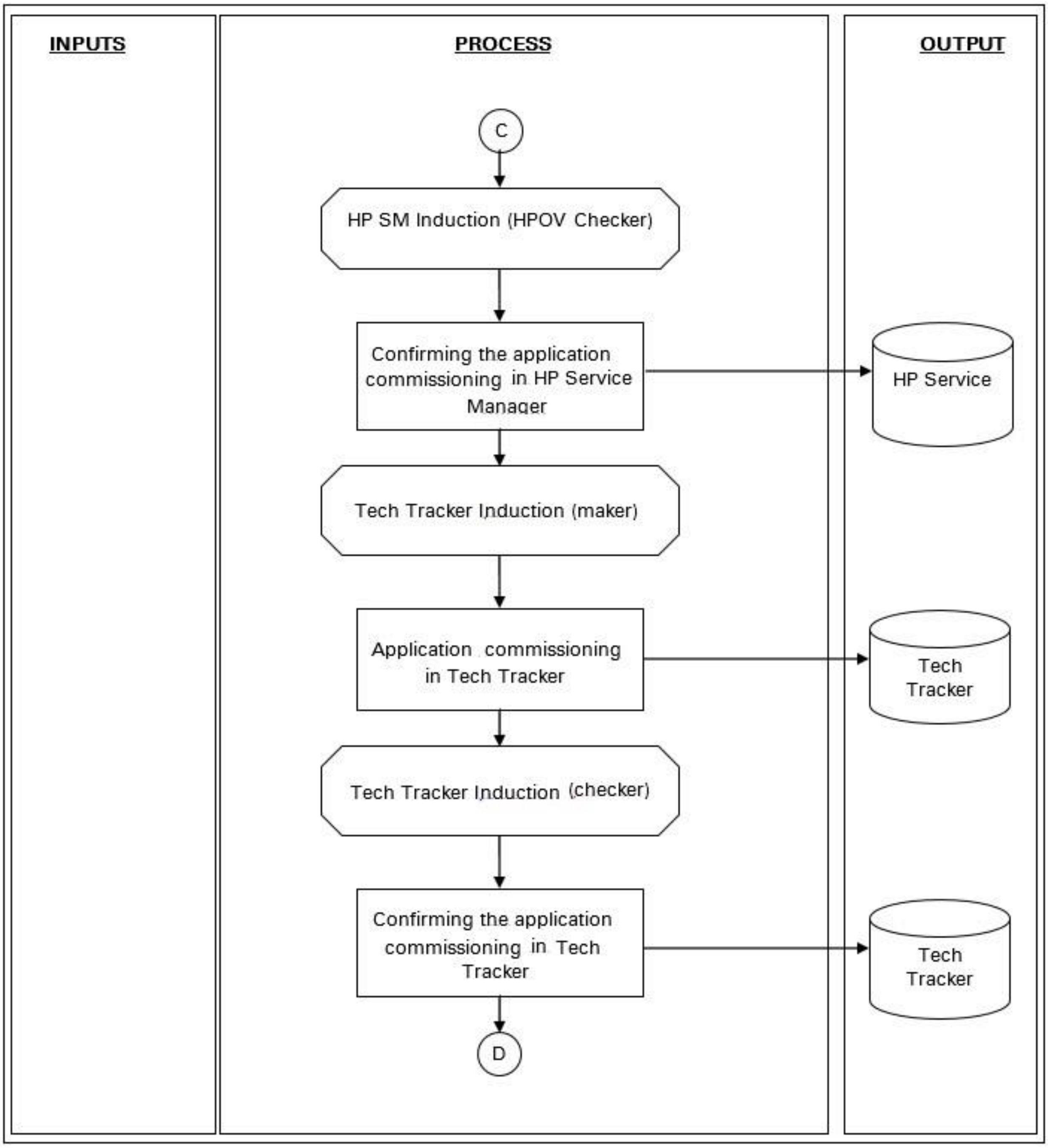
Assigning basic stakeholders of an application:

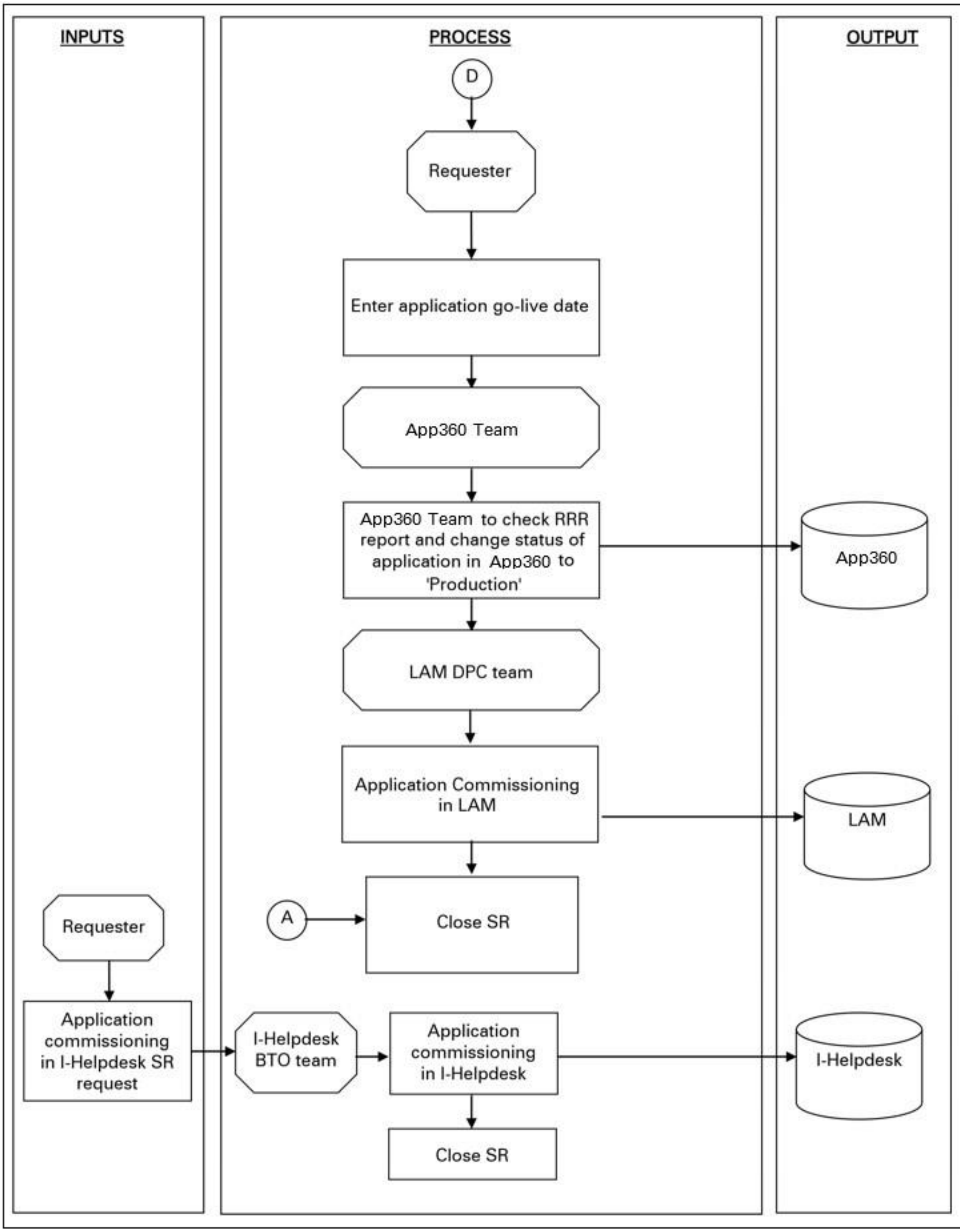
- Application owner for the application should be from the Technology Team
- Business Owners (BO) for the application should be of the grade AGM and above • Technology Owner (TO) for the application should be of the grade AGM and above.
- Residual Risk Rating (RRR) approvers for the application should be from the leadership team from Technology.
- Information Owners (IO) for the application should be from the business team and should be from the leadership team.

SR Workflow for Commissioning: The SR workflow for commissioning of an application is captured as a flow diagram below. The SR workflow for commissioning of an application in i-Helpdesk in captured in Annexure I.


Process: Application commissioning
INPUTS
PROCESS
OUTPUT
Requester
Application commissioning SR request
Technology Solutions Group Head
Approval
No
A
Yes
Business Technology Head
Approval
No
A
Yes
App360 Team
CAN ID, Application name generation and basic stakeholders details updation in App360
App360
Requester
Requester confirmation for procurement completion
Technology Management Group Head
B


INPUTS
PROCESS
OUTPUT
B
Approval
No
A
Yes
App360 Team
IRIS induction
Updating the other application details in App360
App360
Whizible Induction (maker)
Application commissioning in Whizible Initiative
Whizible Initiative
Whizible Induction (checker)
Confirming the application commissioning in Whizible Initiative
Whizible Initiative
HP SM Induction (HPOV Maker)
Application commissioning in HP Service Manager
HP Service Manager
C


INPUTS
PROCESS
OUTPUT
C
HP SM Induction (HPOV Checker)
Confirming the application commissioning in HP Service Manager
HP Service
Tech Tracker Induction (maker)
Application commissioning in Tech Tracker
Tech Tracker
Tech Tracker Induction (checker)
Confirming the application commissioning in Tech Tracker
Tech Tracker
D


INPUTS
PROCESS
OUTPUT
D
Requester
Enter application go-live date
App360 Team
App360 Team to check RRR report and change status of application in App360 to 'Production'
App360
LAM DPC team
Application Commissioning in LAM
LAM
A
Close SR
Requester
Application commissioning in I-Helpdesk SR request
I-Helpdesk BTO team
Application commissioning in I-Helpdesk
I-Helpdesk
Close SR

**Induction of applications in control applications before Go Live:**

The application needs to be mapped in the following control applications.

App360:
The application has to be inducted into the APM module of App360.

- Application will be inducted in the APM module of App360 post approval from Technology head and Business Technology Head in i-Helpdesk.
- IT Governance will be responsible to induct the application in the APM module of App360.

IRIS:
Once the application has been inducted into/ added to APM module of App360, it is added to the IRIS application, to perform the ASLC (Application Security Life Cycle) testing. Application will be added to the master of IRIS with the help of a web service built in App360. IRIS will fetch the application details through an auto scheduler. The ASLC process involves a series of tests and vulnerability checks performed on the UAT servers of an application.

Whizible Initiative:
Application change management and application Go Live is monitored and executed using this workflow tool.

- Application induction in Whizible is done by the DPC team through the same I Helpdesk request raised for inducting an application in the APM module of App360.
- Whizible Initiative is also used in assigning further stakeholders like Business Team, Application Team and Production team members of an application. It also enables the AOs to assign the approvers.
- Application details like Organization Unit (OU), Delivery Unit (DU), and Deployment Team (DT) are updated as a part of the induction call in i-Helpdesk.
- Approvers like BO (Business owner), TO (Technology owner), Development Team Lead, Deployment Team Lead and Support Team Lead are updated.
- All changes to the approvers are done using an application details modification SR category in i-Helpdesk. Once these details are updated in the APM module of App360, the changes are updated in Whizible Initiative.

HP Service Manager:
A centralized team carried out the application induction in HPSM (HP Service manager) after the application has been inducted in App360. Application induction in HPSM is done using the same induction call raised for inducting an application in the APM module of App360. HP SM acts as a server and storage induction/change management workflow systems for new and existing applications.

Tech Tracker and App360
Tech Tracker and App360 are being used as the repository of application downtimes/unavailability

- Application induction in Tech Tracker is done by the Tech Tracker team through the same I-Helpdesk request raised for inducting an application in App360.
- Uptime monitoring results performed by Quality Kiosk are uploaded to the TechTracker each day.
- AOs and Production Support team can update their RCAs in case of any downtime in this application

**ASLC and Go Live:**

- Once the UAT has been successful the Application team enrols the application in IRIS to perform ASLC. Application details are already present in IRIS as application induction has happened in the APM module of App360.
- ISG Team performs the security checks and generates the RRR Report.
- The RRR is Signed Off by stakeholders from business, technology and Information Security group as per the risk approval matrix.

**Mapping of Applications after Go Live:**

LAM: LAM (Logical Access Management) application is used to manage the logical access of an application based on roles and privileges.

- Application induction in LAM is done by the DPC team through the same i-Helpdesk request raised for inducting an application in the APM module App360
- Induction in LAM is done by the Application Owner (AO) creating the ACM (Access Control Matrix), containing the roles and their associated privileges
- A onetime AUL (Active User List) has to be provided for syncing the user List in LAM and the new application

The review of applications details in APM module of App360 should be carried out by and application teams on a quarterly basis.

Module Commissioning

Module commissioning follows the same process as that of application commissioning except that initial approvals need to be obtained from Technology person who should be of the grade AGM and above) and BO (who should be of the grade AGM and above).

**Application Decommissioning Process**

Application decommissioning is a process which ensures that applications are removed from all control applications. The TAT for application decommissioning is 2 weeks from the time the request is approved in i-Helpdesk, provided all open calls, CRs, requests are closed in the control applications.

Write-off process:

When an application is proposed to be decommissioned, it has to be written-off from the Bank’s book of accounts (SAP). The technology team should obtain the write-off amount and asset number(s) (from SAP) for that application from the ATG team by sharing the details such as the CAN-ID and name of the application, PO number, asset code generated in e-Procurement system and the I-Memo used for financial approval for application procurement. A write-off i-Memo should be raised by the technology team mentioning the asset numbers related to the application to be written-off and based on the value of the write-off amount approval should be obtained through i-Memo as per DFP.

Application decommissioning process is facilitated with the help of a SR in i-Helpdesk and to be raised by the technology team in i-Helpdesk under the following category.

INTERNAL PROCESS MANAGEMENT -> APP360 -> Application Decommissioning

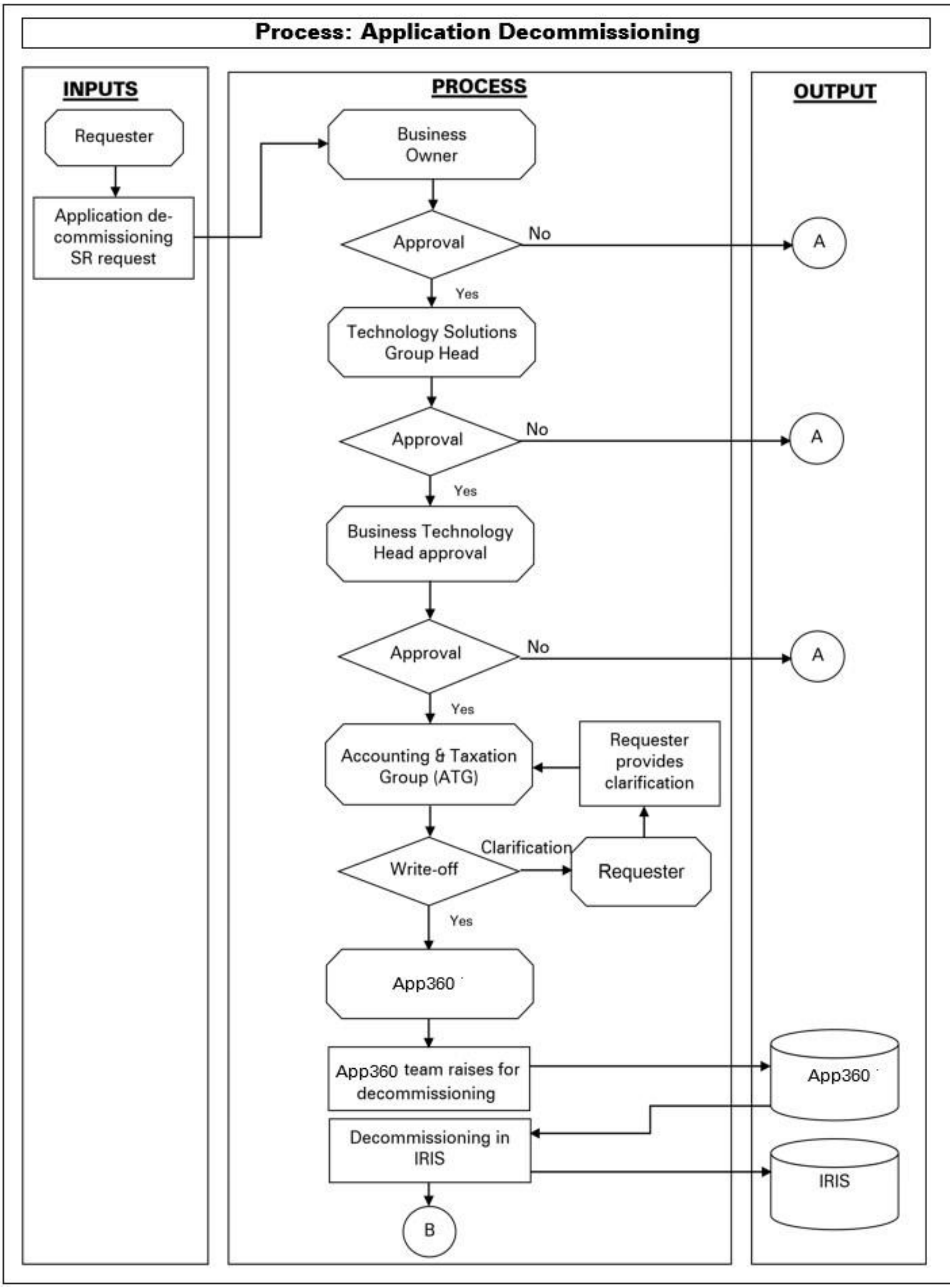
The technology team needs to ensure the following while raising the decommissioning SR

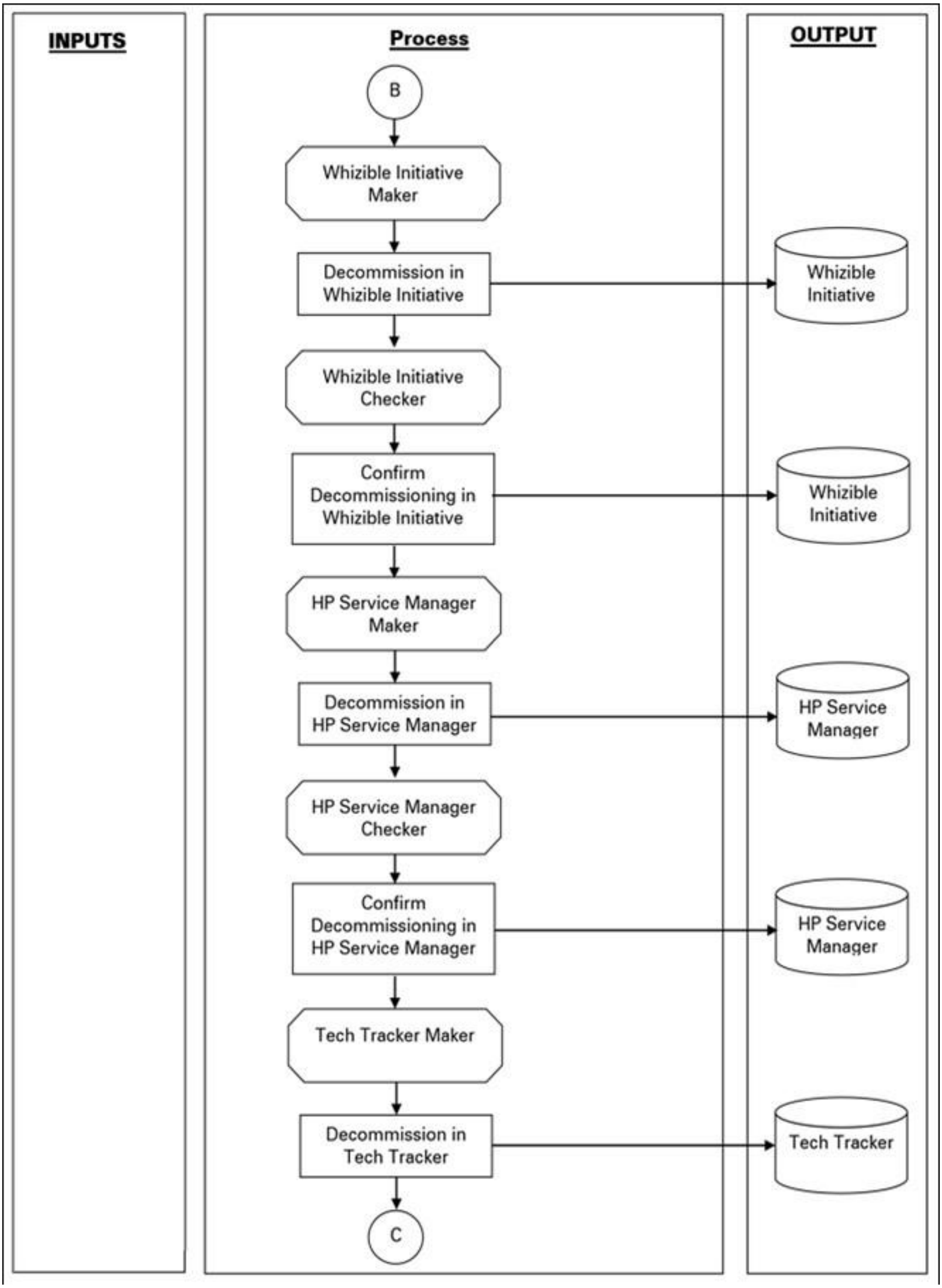
- Application name and instance to be decommissioned
- Reasons for decommissioning along with the decommissioning strategy (components - DB/Server to be maintained in read-only mode) post decommissioning of the application
- Technical and Business Impact analysis of application decommissioning.
- Ensure decommissioning intimation is sent to the respective technology teams of other interacting applications.
- Ensure Interfaces with all the interfacing applications are removed and intimation sent to respective applications owners
- Ensure that the hardware infrastructure related to the decommissioned application as applicable is released and all privileged IDs are accordingly deleted
- New Application Product/Process replacing the existing application, if any.
- Timeline for induction of new application replacing existing application, if any.
- Record Retention period for various items

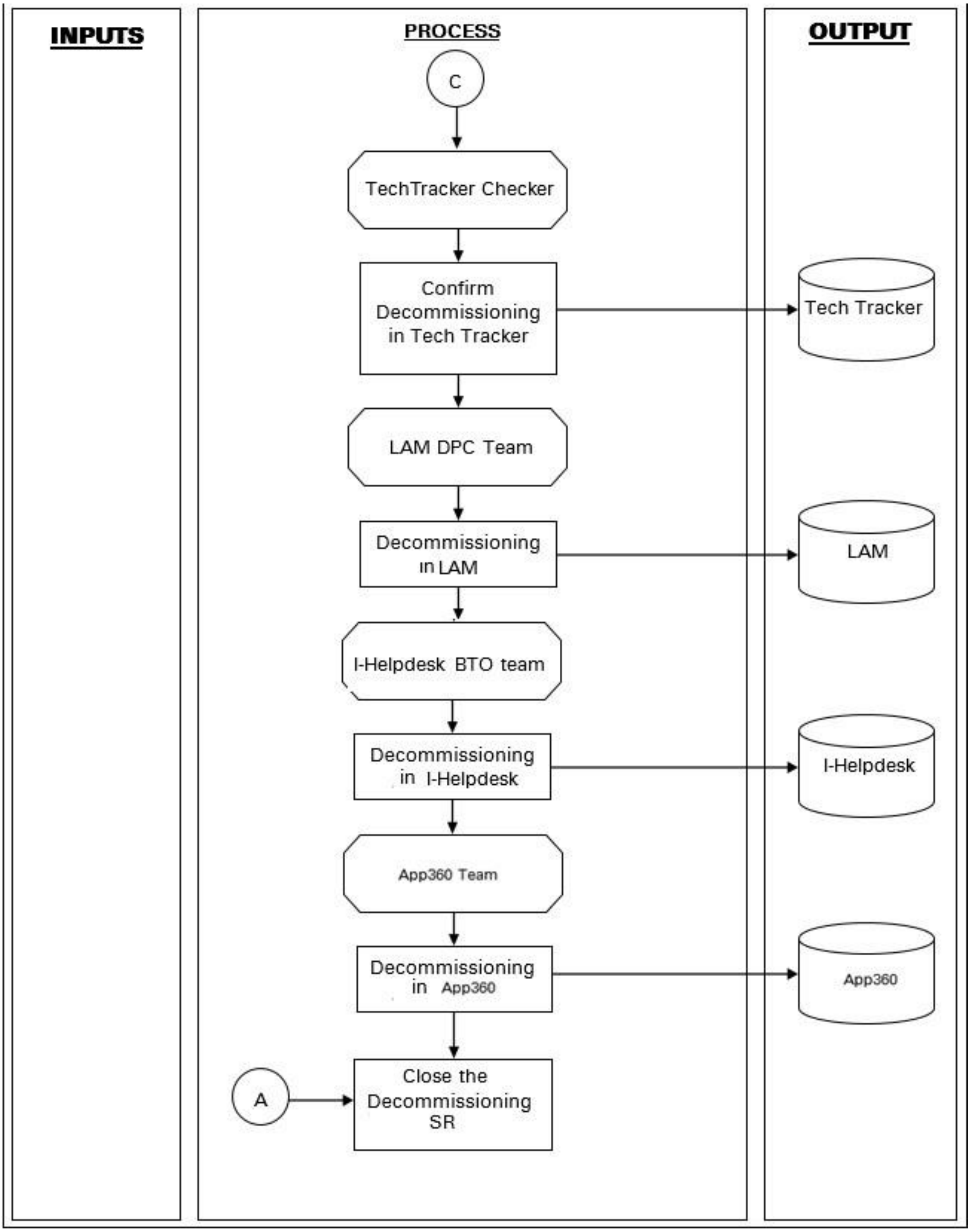
The Technology team should also ensure that they upload the approved iMemo (with approval as per DFP) for writing-off the application from the Books of accounts (SAP), while raising the decommissioning SR. This is also applicable for assets with zero WDV.

Technology teams should initiate the decommissioning of an application and should obtain the approval from the respective Business Head from the leadership team, the Technology Head and the Business Technology Head.

After receiving the approval from business, technology team should inform the application users about the decommissioning of the application and the date by which it would be effective from and give details of the alternate process to be followed in absence of the current application.
Technology team should ensure that all the open CR (Change Request) calls in Whizible Initiatives are closed or withdrawn and all the CRs are backed-up for the application and archived along with the application backup. Technology teams should also ensure that all SR calls related to the application (Incident management, Direct database update, master maintenance etc.) in i-Helpdesk and open user maintenance LAM requests in the LAM application are closed.


Process: Application Decommissioning
INPUTS
PROCESS
OUTPUT
Requester
Application de-commissioning SR request
Business Owner
Approval
No
A
Yes
Technology Solutions Group Head
Approval
No
A
Yes
Business Technology Head approval
Approval
No
A
Yes
Accounting & Taxation Group (ATG)
Requester provides clarification
Write-off
Clarification
Requester
Yes
App360
App360 team raises for decommissioning
App360
Decommissioning in IRIS
IRIS
B


INPUTS
Process
OUTPUT
B
Whizible Initiative Maker
Decommission in Whizible Initiative
Whizible Initiative
Whizible Initiative Checker
Confirm Decommissioning in Whizible Initiative
Whizible Initiative
HP Service Manager Maker
Decommission in HP Service Manager
HP Service Manager
HP Service Manager Checker
Confirm Decommissioning in HP Service Manager
HP Service Manager
Tech Tracker Maker
Decommission in Tech Tracker
Tech Tracker
C




An application will be considered decommissioned only after successful decommissioning from control applications. Exception has to be obtained for any deviation to the above process from a technology personnel of the grade AGM and above.

Record maintenance:

The Application Owner should update the decommissioning checklist for the application and should file the same along with the Business Head and TSG Head approval for records and should intimate the Business Head and TSG Head on the completion of the decommissioning activity.

Application de-inventorization

Communication on the decommissioning status of the application has to be sent by the technology team to the following teams.

Internal audit department: isaudit@icicibank.com
Information Security Group: isgteam@icicibank.com
Accounts and Taxation Group (ATG)

Decommissioning Strategy

The decommissioning process strategy may include any of the below mentioned strategies.

I. Application and Database removed completely from server.
II. Application removed completely and Database maintained in read-only mode. III. Application & Database maintained in read only mode.

Strategy I: Application and Database removed completely from server

As per this strategy, the application and database would be fully removed from the server. A backup of the latest database and application will be kept as per the record retention policy.

Application management:

- Technology team should log a call in HP SM for full application backup.
- The backup of all the older versions of application must be archived with proper labelling.
- The application must be removed completely from the server.
- All the ports, IP addresses for the application must be released.
- SLA with the service provider and Annual License fees (if any) must be terminated.

Database management: 

- Technology team should log a call for database backup in HP SM. After the data is backed up, Technology team will seek confirmation on the completeness of the data and retain the data as per the Record retention policy.
- The retrieval period for the data will be governed by DC SOP
- The database must be deleted from the server.
- All backup policies must be disabled for the database and Application.
- A request must be raised in HP SM for de-mapping (Application, Database, and Web server) from HP SM.
- All the open requests for the application must be closed in HP SM.

Strategy II: Application Removed completely and Database maintained in read-only mode

As per this strategy, the application would be fully removed from the server, and the database would be turned to read-only mode. The database can be used to generate past reports from the back-end.

Application management:

- Technology team should log a call in HP SM for full application backup and archive the backup of all the older versions of application with proper labelling.
- Technology team should remove the application completely from the server.
- Technology team should ensure that all the ports, IP addresses for the application are released.
- SLA with the service provider and Annual License fees (if any) must be terminated.

Database management:

- Technology team should log a call for database backup in HP SM. After the data is backed up, Technology team will seek confirmation on the completeness of the data and retain the data as per the Record retention policy for technology.
- The database must be freezed to Read-only mode.
- All backup policies for the database and Application must be disabled.
- A request must be raised in HP SM for de-mapping (Application, Database, and Web server) from HP SM.
- All the open requests for the application must be closed in HP SM.

Strategy III: Application & Database maintained in read only mode.

As per this strategy, the application and database would be converted to read-only mode. All input fields in the application should be disabled. This will help to view past data from the front end of the application.

Application management:

- Application team should ensure that the application is retained in read only mode and Bank's guidelines like change management, record retention and application backup are considered.
- The back-up should be labelled and archived properly.
- The SLA with the service provider has to be reviewed for level of service and maintenance cost and the License fee (if any) should be renegotiated if applicable.

Database management:

- Technology team should log a call for database backup in HP SM. After the data is backed up Technology team will seek confirmation on the completeness of the data and retain the data as per the Record retention policy.
- The database must be freezed to Read-only mode.
- All backup policies for the database and Application must be disabled.

Module Decommissioning

Module decommissioning follows the same process as that of application decommissioning except that initial approvals need to be obtained from technology personnel of the grade AGM and above and the Business Owner who is of the grade AGM and above.

None of the process activities have any impact from a DFP approval perspective. Wherever DFP is required the I-memo process should be followed.

Guidelines on how to update application details in the application inventory App360:

1. Log in to APP360
2. Click on APM > APM Details.
3. Search for respective application and select the same for review.
4. Review and update all tab for the application. Ensure that all the relevant details are updated.
5. Post the completion of the review select "Completed" from the tab “Infrastructure”. This field captures the completion of the review.
6. Click Save to complete the activity.

Guidelines on how to identify an application as a SOX application:

Any application which qualifies for any of the below mentioned criteria is a SOX critical application.

- Whether the application is an OLTP (Online Transaction Processing) system which passes data to the BS/PL.
- Whether the application is a Reporting application used by FARG for the BS/PL generation.
- Whether the application is a Backbone applications (used for computations/calculations) which are critical for arriving at the numbers which are further processed for payments.
- Whether the application is a System where the numbers are being taken to BS/PL. For e.g.: instances of customer complaints, handling customer escalations beyond TAT, etc.
- Whether the application is a Control application identified as part of the applications used as controls in ITGC processes.
- Whether the application interfaces with critical applications (application which has a direct impact on the BS/PL) like SAP, ILOANS, I-CORE.

II) **Validation to be performed, if applicable:** As detailed in the process outlines in this note

## 5.1 Submission of information to Principal Group (if applicable):

iProcess Memo

## 5.2 Annexures, if applicable:

| Sl No. | Annexure |
|---|---|
| 1. | Annexure I :SR flow of commissioning of applications into control applications |
| 2. | Annexure II :SR flow of decommissioning of application from control applications |

Annexure I

1 TSG Approval
2 BT head approval
3 APM CAN ID Generation
4 Requester confirmation for procurement completion
5 TMIG Head approval
6 APM details updation
7 Whizible Induction (maker)
8 Whizible Induction (checker)
9 HP SM Induction - HPOV Maker
10 HP SM Induction - HPOV Checker team
11 Techtracker Induction (maker)
12 Techtracker Induction (checker)
13 Requester or AO to enter go-Live date
14 APM team to change applictn status to Production
15 LAM team to induct application in LAM
16 Requester clarification for BT Head
17 Requester clarification for TMIG Head
18 Requester clarification for APM team
19 Clarification for Whizible Initiative Maker
20 Clarification for Whizible Initiative Checker
21 Requester clarification for HPOV Maker
22 Requester clarification for HPOV Checker
23 Requester clarification for Techtracker Checker
24 Requester clarification for Techtracker Maker
25 Requester clarification for LAM team
26 Request closure

Annexure II

1 Business Owner Approval
2 TSG Head Approval
3 BT Head approval
4 APM team raises for decommissioning
5 Asset write-off by ATG team
6 De-induction in Whizible (maker)
7 De-induction in Whizible (checker)
8 De-induction in HP SM - HPOV Maker
9 De-induction in HP SM - HPOV Checker
10 De-induction in Techtracker (maker)
11 De-induction in Techtracker (checker)
12 De-induction in LAM
13 De-induction in I-Helpdesk
14 Final De-commissioning in APM
15 Requester clarification for TSG Head
16 Requester clarification for BT Head
17 Requester clarification for APM team
18 Requester clarification for ATG team
19 Requester clarification - Whizible Maker
20 Requester clarification for Whizible Checker
21 Requester clarification for HPOV Maker
22 Requester clarification for HPOV Checker
23 Requester clarification for Techtracker Maker
24 Requester clarification for Techtracker Checker
25 Requester clarification for LAM team
26 Requester clarification for I-Helpdesk team
27 Requester clarification for APM team final
28 Request closure