Standard Operating Procedure (SOP)

For

Prime Bank E-Signature

Version 1.0.0

**Submitted to**



Prime Bank PLC

**Prepared By:**



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### ****1. Purpose****

To define the standard processes and procedures for managing e-signatures within the e-signature software system, ensuring secure and efficient operations while complying with legal and security standards.

### ****2. Scope****

Here’s a concise scope paragraph based on your text. The scope of both free and paid support includes bug fixes, performance tuning, and issue resolution related to the original project scope. For the first six months, these services will be provided free of charge. After six months, continued maintenance will be offered under an Annual Maintenance Contract (AMC) at 18% of the total work order value, ensuring uninterrupted technical support and system stability.

### **3**. Definitions****

* **Active Signature:** A signature that is currently available for use in documents and transactions within the system.
* **Inactive Signature:** A signature that is stored in the system but is currently disabled and cannot be used in documents
* **User Roles:** Distinct access levels assigned to users based on their responsibilities and privileges within the system. Common roles include Administrator, User, and Auditor, each with specific permissions.
* **Master Signature**: The primary signature selected from a set of uploaded signatures, used as the default for official documents.
* **Signature Management**: The process and system features involved in uploading, editing, viewing, and deleting signatures.
* **PA** : A documented request for action regarding an employee’s status or role, requiring authorization before implementation.
* **Authorization**: The process of granting permission for actions within the system, typically performed by designated users with higher privileges.
* **Admin**: The system facilitates the management of institutions and branches, enables the creation and modification of user roles and permissions, and allows for the establishment of security questions to enhance overall administrative control.
* **Setting**: The application can be set up, mail templates can be managed, the signature view can be customized, and application settings can be configured.
* **Request**: The system allows for the initiation of requests, selection of request types, input of necessary details, and submission for processing.
* **Dynamic Report Generation**: The automatic creation of reports based on real-time data and user input, ensuring that information is current and relevant.

### ****4. Roles and Responsibilities****

1. **Access User Management:**
   * Go to the "Administration" menu and select "User Management."
2. **Add New User:**
   * Click "Add User" and fill out the user’s details (e.g., name, email, role )
   * Assign a role (e.g., Administrator, User, Auditor ) based on the user’s responsibilities.
   * Set up authentication methods (password, multi-factor authentication) for added security.
   * Click "Save."
3. **Modify Existing User:**
   * Locate the user in the list and click "Edit."
   * Update roles, permissions, or any information as needed.
   * Save changes.
4. **Inactivate / Active User:**
   * Click on the user’s name, then select "Inactivate" or "Active" to change their access status.

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|  |  | |  |  |  | | --- | --- | --- | | **Role** | **Permission** | **Responsibilities** | |  | VIEW DASHBOARD | The 'VIEW DASHBOARD' permission allows viewing the entire dashboard. | |  | USER VIEWER | The 'USER VIEWER' permission allows the user to view the entire list of users. | |  | DELETE USER | The 'DELETE USER' permission allows a user to delete another user. | |  | USER MANAGEMENT | The 'USER MANAGEMENT' permission allows this user to manage all users. | |  | SIGNATORY VIEWER | The 'SIGNATORY VIEWER' permission shows all users on the PA list. | |  | USER APPROVER | The 'USER APPROVER' permission allows viewing the full user list and approving users. | |  | SIGNATORY MAKER | The 'SIGNATORY MAKER' permission allows the signatory to view this user. | |  | SIGNATORY DELETER | The 'SIGNATORY DELETER' permission allows the signatory to delete this user. | |  | SIGNATORY CHECKER | The 'SIGNATORY CHECKER' permission authorizes this user to use the signatory Authorize button. | |  | SAMPLE DOCUMENT SAVER | The 'SAMPLE DOCUMENT SAVER' permission allows the user to add, save, and view a list of Sample Documents. | |  | SAMPLE DOCUMENT DOWNLOADER | The 'SAMPLE DOCUMENT DOWNLOADER' permission shows this Download button to the user. | |  | FILE UPLOAD, UPLOAD SIGNATURE | This user has the permissions for 'FILE UPLOAD' and 'UPLOAD SIGNATURE,' either for 'Bulk Upload' or 'Single Upload. | |  | INTERNAL SIGNATURE VIWER | The 'INTERNAL SIGNATURE VIEWER' permission allows this user to view signatures. | |  | EXTERNAL SIGNATURE VERIFIER | The EXTERNAL SIGNATURE VIEWER' permission allows the user to view others' signatures. | |  | SIGNATURE LOG VERIFIER | The 'SIGNATURE LOG VERIFIER' permission allows viewing and searching all signature information. | |  | APPROVE SIGNATURE, APPROVE DELETE SIGNATURE | The 'APPROVE SIGNATURE' and 'APPROVE DELETE SIGNATURE' permissions allow the Signature Checker to authorize, approve, or delete actions. | |  | SIGNATURE VIEWER | The 'SIGNATURE VIEWER' permission allows this user to view the signature. | |  | UPDATE SIGNATURE | The user has permission to update the signature. | |  | SIGNATURE DELETER | The 'SIGNATURE DELETER' permission deletes this user's signature. | |  | SIGNATURE MAKER | The 'SIGNATURE MAKER' permission request for approval button for this user. | |  | DOWNLOAD SIGNATURE | The 'DOWNLOAD SIGNATURE' permission allows the user to download the full signature booklet, single signature, single signature for Prime Bank, and single signature for others. | |  | SIGNATURE HISTORY VIEWER | The 'SIGNATURE HISTORY VIEWER' permission allows this user to view the Signature History. | |  | REQUEST APPROVER | The 'REQUEST APPROVER' permission request for approval button for this user. | |  | REQUEST CHECKER | Approve the 'REQUEST CHECKER' permission request for this user by clicking the Approve Request button. | |  | DELETE ROLE | The 'DELETE ROLE' permission allows a user to delete another user. | |  | USER MAKER | The 'USER MAKER' permission allows any user to add this user. | |  | PASSWORD ADMIN | The 'PASSWORD ADMIN' permission allows this user to change passwords. | |  | USERS UNDER ROLE VIEWER | Clicking one role, User see the all users under the role. And he can all the activity under User list. | |  | VIEW ROLE | All roles will be displayed with 'Edit' and 'Delete' buttons, and a button will be shown for adding a new role for this user. | |  | MAKE ROLE | The 'MAKE ROLE' permission allows this user to add, edit, and delete roles. | |  | APPROVE ROLE | To add, edit, or delete a role, authorization is required, and only an authorized person can grant authorization. | |  | ADD SECURITY QUESTION | The 'ADD SECURITY QUESTION' permission allows this user to add, edit, and delete security questions. | |  | VIEW SECURITY QUESTION | The 'VIEW SECURITY QUESTION' permission displays the entire list of security questions for this user. | |  | ADD SECURITY QUESTION ANS | The 'ADD SECURITY QUESTION ANS' permission allows this user to add, edit, and delete security questions answer . | |  | VIEW SECURITY QUESTION ANS | The 'VIEW SECURITY QUESTION ANS' permission displays the entire list of security questions answer for this user. | |  | INSTITUTION MAKER | Showing institution form for add new institution. | |  | INSTITUTION VIEWER | The 'INSTITUTION VIEWER' permission allows this user to see the list of institutions. | |  | INSTITUTION DELETER | The 'INSTITUTION DELETER' permission allows this user to delete institutions. | |  | INSTITUTION DELETE APPROVER | The user with the 'INSTITUTION DELETE APPROVER' permission can see the institution delete approver button. | |  | INSTITUTION CHECKER | Authorize this user for the 'INSTITUTION CHECKER' permission. | |  | SAVE BRANCH, VIEW BRANCH | The 'SAVE BRANCH' and 'VIEW BRANCH' permissions allow this user to add, edit, and view the list of all branches. | |  | APPROVE BRANCH | Approve this user for the 'APPROVE BRANCH' permission. | |  | DELETE BRANCH | The user has permission to delete this branch. | |  | VIEW PERMISSION | All permissions will be displayed along with an edit icon, and there will be a search option available. | |  | SAVE PERMISSION | Edit this user’s 'SAVE PERMISSION' permission. | |  | APPLICATION CONFIG SETUP | The forms displaying signature admin information and date setup options will be shown.  On the date setup form, you can set the following:  Maximum Days for Last Login:  Maximum Days for Last Password Change: | |  | DISCLAIMER SETUP | View the legal disclaimer for this user. | |  | LEGAL DISCLAIMER MAKER | A Legal Disclaimer Maker user can upload a Legal Disclaimer. | |  | LEGAL DISCLAIMER VIEWER | A LEGAL DISCLAIMER VIEWER user can see the list of legal disclaimer. | |  | MAIL TEMPLATE VIEWER | A view will display all mail templates including subject, body, type, group, and status, along with options to view, edit, delete, and authorize. | |  | MAIL TEMPLATE MAKER | A page for creating mail templates will be displayed, including fields for Email, Group, and Email Body. | |  | MAIL TEMPLATE DELETER | The 'MAIL TEMPLATE DELETER' permission allows this user to delete mail templates. | |  | MAIL TEMPLATE MAKER | The 'MAIL TEMPLATE MAKER' permission allows this user to add and edit mail templates. | |  | MAIL TEMPLATE APPROVER | Maker can request for authorizetion by clicking this button. | |  | MAIL TEMPLATE CHECKER | Checker can autorizeton by clicking this button. | |  | AGREEMENT SETUP VIEWER | Viewer user can see the all agreement list. | |  | AGREEMENT SETUP MAKER | Maker user can upload or delete any agreement file. | |  | SIGNATURE SETUP VIEWER | Two slides will be displayed, one for internal user setup and one for external user setup. | |  | SIGNATURE SETUP VIEWER | Display all available fields and assignable fields. The assignable fields will dynamically show on the signature information page. | |  | ACCESS APPLICATION SETUP | ACCESS APPLICATION SETUP user can only see the appllication setting. | |  | APPLICATION SETUP MAKER | APPLICATION SETUP MAKER user can save the setup. | |  | LOGGED REPORT VIEWER | View the Logged Report. User can search by time also. | |  | USER REPORT VIEWER | View the User Report. User can search by time also. | |  | PA REPORT VIEWER | View the PA Report. User can search by time also. | |  | BANK REPORT VIEWER | View the Bank Report. User can search by time also. | |  | PASSWORD REPORT VIEWER | View the Password Report. User can search by time also. | |  | SIGNATURE REPORT VIEWER | View the Signature Report User can search by time also. | |  | SIGNATURE SEARCH VIEWER | View the Signature Search. User can search by time also. | |  | SIGNATURE HIS REPORT VIEWER | View the Signature History Report. User can search by time also. | |  | DOC REPORT VIEWER | View the Document Report. User can search by time also. | |  | NEWS FEED REPORT VIEWER | View the News Feed and Others. User can search by time also. | |  | PRINT DOWNLOAD REPORT VIEWER | View the Download Report. User can search by time also. | |  | HR MODULE REPORT VIEWER | View the HR Module Report. User can search by time also. | |  | EXCEPTION REPORT VIEWER | View the Exception Report. User can search by time also. | |  | REQUEST ADMIN | All users with the 'REQUEST ADMIN' permission status. | |  | GENERATE LINK | Request permission to generate a link. | |  | ACTIVITY LOG VIEWER | The 'ACTIVITY LOG VIEWER' permission displays this activity list. | |  | REQUEST VIEWER | The 'REQUEST VIEWER' permission shows this request list. | |  | COPY TEXT | Copy Text permission | |  | INTERNAL SIGNATURE VERIFIER | The 'INTERNAL SIGNATURE VERIFIER' permission displays this list of internal signatures. | |  | 'DOWNLOAD SINGLE SIGNATURE | The 'DOWNLOAD SINGLE SIGNATURE' permission allows this user to download a single signature. | |  | OTHERS SIGNATURE UPLOADER | The 'OTHERS SIGNATURE UPLOADER' permission allows this user to upload signatures on behalf of others. | |  | HR ROLE | If a user with the 'HR ROLE' permission generates a Personnel Action (PA), it will only be for the prime bank. | |  | SAMPLE DOCUMENT APPROVER | This permission can approve the sample document. | |

1. **Procedure Details**

**5.1 Generate PA**

1. **Access**: Go to "Signature Management" > "Generate PA."
2. **Fill Form**: Complete:
   * Signature Holder Information
   * Type of Signature (official/personal)
   * Date of Action
3. **Submit**: Click "Submit."
4. **View and Edit Information**:
   * **View**: Click "Show All Information" to view details.
   * **Edit**: Click "Edit" to make changes, then click "Save."
5. **Authorization**: Authorizer will:
   * Log in "Pending Authorizations."
   * Review and click "Authorize."
6. **Post-Authorization**:
   * Once authorized, the signature can be uploaded against the signatory.

**5.2 Upload Signature**

1. **Navigate to the Signature Upload Section:**
   * Log into the system using your credentials.
   * Navigate to the "Signatures" menu, then select "Upload Signature."
2. **Upload Process:**
   * Go to **"Signature Management" > "Upload."**
   * Enter Upload For, Effective Date, and **Status.**
   * Upload one or more signature files (accepted formats: **JPG, JPEG, PNG).**
   * Select the **Master Signature** from the uploaded files.
   * Click "Submit" to upload the signature.

**5.3 Manage Signature**

1. **Access Signature List:**
   * Go to **"Signature Management"** > **"List."**
2. **View Signature:**
   * Click **"View"** to display all relevant information about the signature.
3. **Edit Signature:**
   * Click **"Edit"** to update details such as **Status** (e.g., Active, Inactive, and Cancel).
   * Save the changes by clicking **"Save."**
4. **Delete Signature:**
   * Click **"Delete"** to remove the signature.
   * **Note**: Deletion requires **authorization** to finalize the process.
5. **Authorized Signature:**
   * Appears in **Signature View** and **Other Signature View** under "Signature Management.

**5.4 View Signature**

1. **Signature View:**
   * Go to **"Signature Management" > "Signature View."**
   * Enter **PA** or **Name.**
   * Auto-suggestions will appear after typing 2-3 characters.
   * Upon successful search, signatures and their information will be displayed.
2. **Other Signature View:**
   * Select the **Institution**; other fields will remain disabled until a selection is made.
   * Go to **"Signature Management" > "Other Signature View."**
   * Enter **Employee ID/PA** or **Name.**
   * Auto-suggestions will appear after typing 2-3 characters.
   * Upon successful search, signatures and their information will be displayed.

**5.5 Signature Download**

1. **Navigate to Reports:**
   * Go to **"Signature Management" > "Download."**
2. **Download Full Booklet:**
   * Select **"Full Booklet"** for download.
   * After clicking "Download," a form will appear.
   * Fill in the necessary details in the form.
   * Click **"Submit"** to automatically download the full booklet.
3. **Download Single Signature:**
   * Select **"Single Download."**
   * Input the required fields.
   * For **Prime Bank,** enter Employee ID/PA or Name; auto-suggestions will appear.
   * For other employees, enter Employee ID/PA or Name to get auto-suggestions for download.
   * After clicking "Download," a form will appear.
   * Fill in the necessary details in the form.
   * Click **"Submit"** to automatically download the Signature.

**5.6 Request**

1. **Initiate Request:**
   * Click on "Request" and select "Create New Request.
2. **Select Request Type:** Choose the type of request from the following options
   * Request for Booklet
   * Verify Signature
   * Request Creation
   * Generate Link
   * Others
3. **Input Additional Fields:**
   * After selecting the request type, fill in any required additional fields specific to your selection.
4. **Submit:**
   * Click "Submit" to complete the request.

**5.7 Admin**

1. **Institution:**
   * **View**: Access and review institution details.
   * **Edit**: Modify existing institution information.
   * **Delete**: Remove institution records as necessary.
2. **Branches:** 
   * **View**: Access and review branch information.
   * **Edit**: Modify branch details.
   * **Delete**: Remove branch records as necessary.
3. **Roles:**
   * **Create**: Establish new user roles with specific permissions.
   * **View**: Access and review existing roles.
   * **Edit**: Modify the details of user roles.
   * **Delete**: Remove user roles as necessary.
4. **Permissions:**
   * **Create**: Define new permissions for roles.
   * **View**: Access and review existing permissions.
   * **Edit**: Modify permission settings.
   * **Delete**: Remove permissions as necessary.
5. **Security Questions:**
   * **Create**: Define new security questions and answers.
   * **View**: Access and review existing security questions.
   * **Edit**: Modify security questions and answers.
   * **Delete**: Remove security questions as necessary.

**5.8 Setting**

1. **Application Config:**
   * Administrator Information & Signature
     1. Configure admin profile details, including name, contact information, designation, and signature.
   * Set Last Login Max-Date (Days)
     1. Define the maximum number of inactive days allowed before an account is flagged or locked.
   * Set Last Change Password Max-Date (Days)
     1. Specify the maximum period users can keep the same password before being required to change it.
   * Dynamic Field Length Control
     1. Adjust the maximum character length for fields across the application dynamically to ensure consistency and prevent input errors.­
2. **Mail Template Management:**
   * Add New Mail Template
     1. Click **‘Add New Mail Template’** to create a new template. Provide the necessary details and save it for use..
   * View Mail Template Data
     1. Navigate to the **Mail Template** menu to display the list of existing templates.
   * Delete a Mail Template
     1. Click the **delete icon** next to the template you wish to remove. This action will permanently delete the selected template.
   * View and Approve a Mail Template
     1. Configure how many days in advance users will receive a notification prompting them to update their password.
   * Edit an Existing Mail Template
     1. To update an existing template, click the **edit icon**, make the necessary changes, and save the template.
3. **Agreement Setup:** 
   * Available under **Settings > Agreement Setup:**
   * **Add New Agreement**: Upload a new agreement file.
   * **View Agreements**: Display the list of uploaded agreements.
   * **Delete Agreement**: Click the **delete icon** to remove the file. After deletion, an option to **upload a new file** will appear.
   * **Edit Agreement**: Click the **edit icon** to update the agreement and save change
4. **Signature View Setup:** 
   * Accessible via **Settings > Signature View Setup:**
   * **Configure Signature View**: Click **'Signature View Setup'**.
   * **Drag and Drop Fields**: Select and arrange the fields you want to display in the signature view.
   * **Dynamic Display**: The setup will apply dynamically in the **Signature Search View.**
5. **Contact Info Setup:** 
   * Accessible via **Settings > Contact Info Setup**:
   * **Head Office Information**: Configure contact details for the head office.
   * **24/7 Contact Information**: Set up round-the-clock contact information.
6. **Application Setup:** 
   * Accessible via **Settings > Application Setup:**
   * **Enable Login Attempt**: Configure the maximum number of login attempts allowed.
   * **Block Failed Attempt**: Set the duration to block users after failed login attempts.
   * **Session Timeout (minutes)**: Define the session timeout duration, after which users will be logged out.

**5.9 Report Generation**

1. **Access Report Section:**
   * Navigate to the **"Reports"** section in the system menu.
2. **Generate Reports:**
   * The following reports can be accessed:
   * Logged Report, User Report, PA Report, Bank Report, Password Report, Signature Report, Signature Search Report, Signature History Report, Document Report, News Feed & Others Report, Download Report, HR Module Report, Exception Report.
3. **Dynamic Auto-Generation:**
   * All reports are dynamically auto-generated based on their activities.

**6. Compliance and Security**

* **Data Protection:** Ensure all data complies with relevant privacy laws (e.g., GDPR, CCPA).
* **Audit Trails:** Maintain logs for all system activities and access. Logs should be reviewed regularly.
* **Regular Updates:** Update the software to include the latest security patches and features.

1. **Review and Approval**

* **Version Review:** This SOP must be reviewed every [Time Period] to ensure it remains accurate.

1. **Temporary Link**

* **Generate Link:** A user can verify any signature through the link and this link will be valid only for one time. And to create this link, select the request type Generate Link from the request section. Which is stated in section 5.6 (Request) above. It will be valid within the selected date.