TABLE OF REVISIONS

Revision No.	Description of change	Section	Date
0.0	Launch of IT policies, guidelines & procedures for end-user computing	A. IT Policy For End Users	01 May 2004
1.0	Added new policies – IT-07 to IT-013	A. IT Policy For End Users	01 Dec 2005
2.0	Major changes implemented for IT-11 New IT System Request	A. IT Policy For End Users	01 May 2009
3.0	Restructure and implement End-User Computing Policies & Guidelines for IMC Group	A. IT Policy For End Users	15 Dec 2010
4.0	All sections were updated to align terminology for application to IMC Group. Topics from Section A "IT Policy for End Users" which are related to Business Applications under a new section "Group IT Policy for Business Applications".	All sections	01 Jan 2014
5.0	Separated from original IT Policy 4.0 and restructure into new IT Policy for IT Management Added cloud hosting requirement and checklist	All Sections	01 Jul 2019
5.1	Amended section 2.1 of new application request to clarify request initiation.	New Business Application Request	22 Mar 2022

POLICY REVIEW AND APPROVAL

Proposed By	Reviewed By
April 12, 2022 _____ **Cheong Wai Luen** **Director, IT** **IMC Industrial Group**	April 12, 2022 _____ **Oon Chen Yen** **Head, Group Risk Management** **IMC Group**
Approved By	
April 12, 2022 _____ **Richard Lai** **Group CFO** **IMC Group**	April 12, 2022 _____ **Loh Niap Juan** **Chief Corporate Officer** **IMC Group**

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1. BACKGROUND

1.1. Business Applications that support business and operational requirements serve to improve the level of productivity, reduce turnaround time and give the company a competitive advantage in the marketplace.

1.2. However, Business Applications also come with inherent costs, such as recurring maintenance fees, consultancy services for system upgrades, and attendant risks such as implementation failure due to poor software quality, lack of support from vendor, poor interoperability amongst different applications, or security breaches due to lack of proper security administration.

1.3. It is thus important for IMC Group to implement IT Management policy and guidelines for proper selection and management of Business Applications so as to protect the company's investments and information assets and ensure interoperability of the systems.

2. OBJECTIVES

2.1. The Policy for Business Applications serves to meet the following objectives:

    2.1.1. Ensure the proper selection, acquisition, and management of business applications to meet business objectives;

    2.1.2. Protect company information assets and prevent unauthorized access to the company business applications and information;

    2.1.3. To ensure the supportability and interoperability of business applications within the company.

3. SCOPE

3.1. The Policy for Business Applications is applicable to all companies within IMC Group.

4. DEFINITION

4.1. Business Application refers to the following types of software:

    I. Commercial Off-the-shelf / Packaged Application Software;

    II. Custom-Developed Application Software;

    III. Subscriptions to Cloud-based Software or Software-as-a-Service (SaaS).

    IV. The following types of software are not classified as Business Applications:

        a. Engineering-related software which is used for purposes such as engineering and architecture design or control systems for equipment;

        b. Business-to-consumer and other public-facing websites.

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5. COMPLIANCE

5.1. All companies within IMC Group are to comply with the Policy for Business Applications, except as provided for under local legal and statutory regulations or requirements.

5.2. All exceptions must be supported by written documentation with approval by Head of Group Corporate Office or Group Chief Financial Officer and Group IT.

6. CONTENTS

6.1. Key areas of Business Applications, including requests for new systems, change requests and security administration are covered in this set of policies.

Document Number	Policy Subject Matter
ITP-BA-110	New Business Application Request
ITP-BA-120	Business Application Change Request
ITP-BA-130	Request for User Access To Business Application Form

7. CONTACT & REVIEW

7.1. The Policy for Business Applications will be reviewed annually and, on an ad-hoc basis if required.

7.2. IMC reserves the right to change the Policy at any time.

7.3. For clarification of the Policy, staff is to contact Head of Group IT.

1. OBJECTIVE

The purpose of this policy is to ensure that:

1.1. Business Applications are aligned with the organization's strategic plans & business objectives;

1.2. New acquisitions and implementations are properly planned and managed so as to protect investment and minimize risks;

1.3. The required level of resource and appropriate priority are assigned so that IT systems are implemented and delivered in accordance with defined user requirements.

2. POLICY

2.1. Request Initiation

2.1.1. All requests for Business Applications must be supported and processed by the IT Dept.

2.1.2. The approving authorities for Business Application procurement shall be in accordance with the Company Authority Manual.

2.1.3. To facilitate assessment by IT Dept and IMC Management:

  I. For total project value under USD100,000: The requestor for a new Business Application Requestor is to raise a New Business Application Request using a prescribed form in Annex A which will provide the essential information about the request.

  II. For total project value equal or exceeding USD100,000: The requestor must furnish a project data sheet (PDS) serving as justification paper on return of investment. The PDS needs to contain at the minimum the below:
   - Key Business Objectives
   - Scope of coverage
   - Key Deliverables
   - Business case on return in investment
   - Approach and timeline
   - Team structure for the project which includes members of the project governing committee including project owner and stakeholders, and members of the project team
   - Role and responsibilities of each role

2.1.4 Based on the nature of the request, the Requestor is to classify the business application requested as any one or more (if applicable) of the following:

Classification	Description
Mandatory / Critical	□ Directly support IMC strategy, business & growth plans □ Meet legal or statutory requirements □ Address IT risk issues related to IMC business continuity
Business-Case Justified	□ Significant business value, savings, benefits to IMC and customers □ Significant improvement to business operations & decision-making 　 Eg. Provide visibility for G&A cost and management reporting
Productivity Improvement	□ Reduce business operations cycle time □ Improvement in business processes and productivity □ Raise the level of job satisfaction for employees
Good-To-Have	□ Eg. A new system to send birthday greeting cards via email

2.2. Request Evaluation by IT Function

2.2.1. IT Function receives a request for new Business Application and conducts an evaluation of the scope, complexity, impact to overall enterprise IT systems and man-effort required for new requests.

2.2.2. Upon approval of the request, the IT Function will work directly with Requestor and key users for system specification, product sourcing, and quotations, purchase, testing, acceptance, and implementation.

2.2.3. IT Function will not hold any responsibilities for any project that is not reviewed and approved by the IT function.

2.2.4. IT Function will also evaluate the aspect of security and data loss prevention in relation to the project as well as the applicability within the Group IT roadmap.

2.2.5. For system or services that are hosted externally, the prescribed form in Annex A1 must be furnished to provide further essential information required to supplement the application. It is mandatory that the hosting party is certified with either of the following industry standards or compatible to ensure minimal acceptable level of security and compliance:
- ISO 27000,
- PCI DSS,
- HIPAA,
- TIA 942 or
- AICPA SOC 2.

1. OBJECTIVE

1.1. The purpose of the Business Application Change Request Policy is to manage and control changes applied to the company's Business Applications.

2. DEFINITION

2.1. A Business Application Change Request is defined as a request to change any part or component of an IT system or service. The change is applicable to all internally-developed application software or packaged software applications.

2.2. A Business Application Change Request comprises one or a combination of the following categories of change :

2.2.1. Major Versions and Releases

2.2.2. Software Patches / Program Fixes

2.2.3. Modifications to Reports

2.2.4. Configuration Changes

3. POLICY

3.1. Change Request Submission & Approval

3.1.1. All Change Requests are to be submitted by the requestor for approval and processing using a Change Request document with the details of the change request provided. Refer to Annex B for the Change Request template.

3.1.2. A Change Request will be evaluated by IT Department to assess feasibility, impact to existing systems, estimated time & cost, identify risks and propose risk mitigation plans. The request shall be approved by both the Head of the Business/Support Unit and the IT Manager before a change request is carried out.

3.2. Change Request User Acceptance

3.2.1. After completion of the change, the requestor or a qualified key user of the system is to conduct user acceptance test (UAT) and signoff for the change. After confirmation of UAT acceptance, the IT Department will migrate the change to production environment.

3.2.2. IT staff responsible for modification of programs, otherwise referred to as IT Developers, will migrate the changed program from a development environment/UAT environment. The requestor of the Change Request will be responsible to conduct user acceptance testing. Upon successful completion of UAT, Requestor will inform IT Developer to print a screen print document showing date & time stamp of the program. IT Developer will sign off on the CR form and the screen print to indicate that the program is accepted, and date & time stamp has been verified.

3.2.3. IT Developer proceeds to list the name of the program which has been accepted by the user and attaches the screen print with verified date & time stamp of the program. He/she then informs Administrator in-charge of 'live' or production environment, who will prepare and schedule for program release.
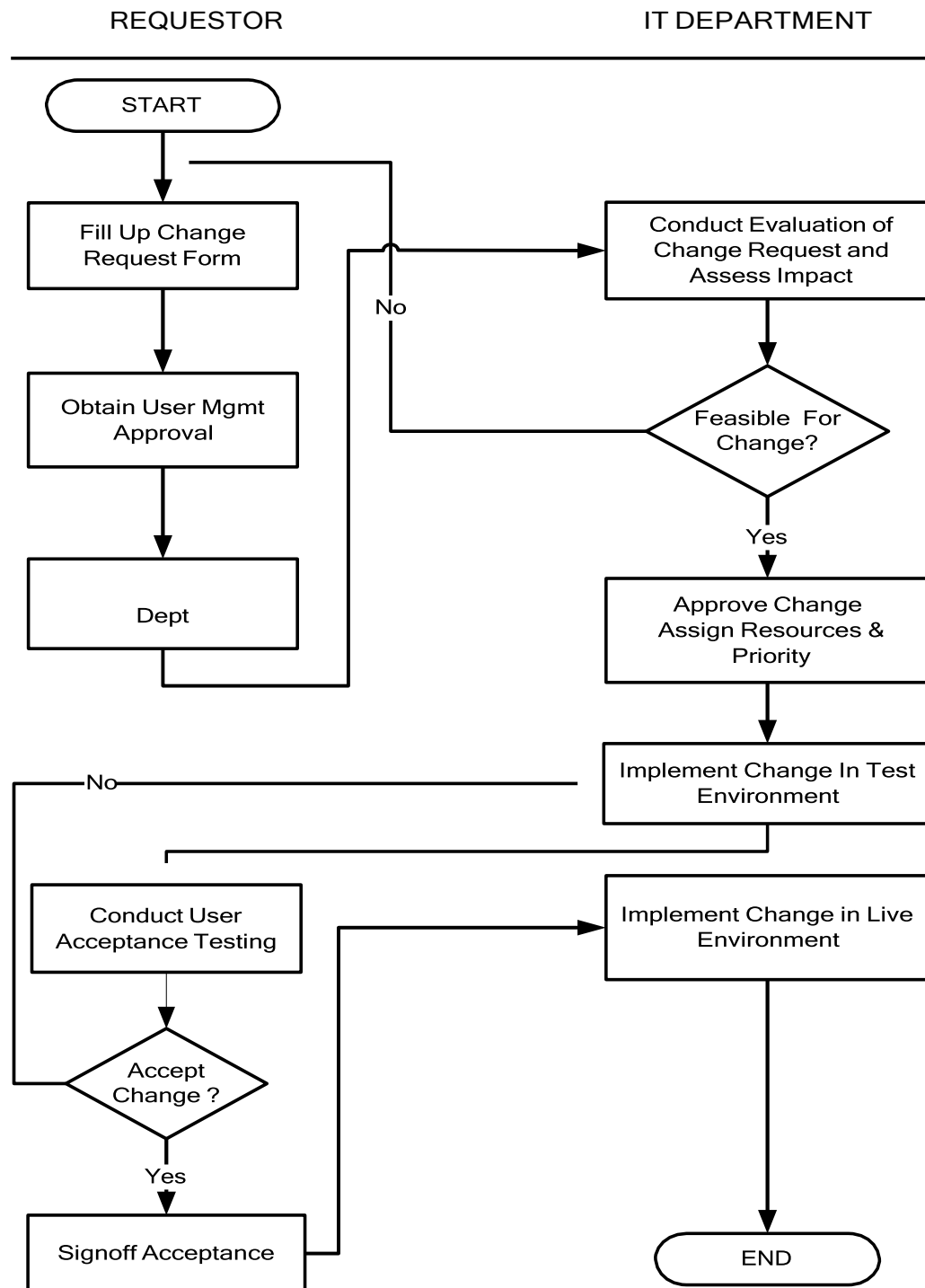
3.2.4. Note: Under certain circumstances, a change may need to be implemented directly on the 'live' or production environment, for which the decision must be jointly agreed and approved by both the Business/Support Unit and IT Dept.

3.3. Change Release To Production

3.3.1. The IT Department staff who is responsible for the implementation of change in the production or 'live' environment, otherwise referred to as Administrator for Production environment, is to verify that the date and time stamp of program in UAT environment matches the information as provided by the IT Developer.

3.3.2. After confirmation, he/she is to proceed to move the programs from UAT to the Production environment and to record the date of program release, with any other important comments regarding the implementation, if applicable.

CHANGE REQUEST PROCESS FLOW

REQUESTOR   IT DEPARTMENT

ISSUED BY:	**IMC IT APPLICATION MANAGEMENT POLICY & GUIDELINES**	
◆IMC	**ITP-BA-130 REQUEST FOR USER ACCESS TO BUSINESS APPLICATION FORM**	Effective Date : 1ˢᵗ May 2022
		Version : 5.2

1. OBJECTIVE

The purpose of this document is to define policy and guidelines for the proper management of user access rights in Business Applications so as to protect and prevent unauthorized access to the company IT systems and information.

2. DEFINITIONS

2.1. *Application Owner* refers to a staff who has overall responsibility for the Business Application. The Application Owner is typically Head of Business/Support Unit for the users of system.

2.2. *User Administrator* refers to a staff who is appointed, as part of his/her work responsibility, to administer the security aspects of a specific Business Application. Responsibilities include creation and maintenance of users, allocation of roles/access rights to a user and general application system housekeeping and monitoring activities, such as review of user access logs.

2.3. *User* refers to a staff who is uniquely identified in a Business Application and requires access/capability to use one or more designated functions of the Business Application system for a specific timeframe.

3. POLICY

3.1. User Access Control

    3.1.1. For each Business Application, one or more Application Owner and User Administrator must be identified.

    3.1.2. All requests for creation of new user access to Business Applications and all subsequent changes to the assigned rights of an existing user must be approved by the Application Owner and submitted to the User Administrator using a prescribed form. Refer to Annex C for the form template "Request for New User Access & Change Access".

    3.1.3. The Requestor is required to provide information pertaining to the request, including details of the User, effective start date for the grant of access and the specific modules, capabilities, and entities to be granted to the User.

    3.1.4. The request must be supported by the Supervisor of the User and approved by the Application Owner.

    3.1.5. The User Administrator of the Business Application will proceed with the user creation only upon receipt of an approved request.

    3.1.6. If the Application Owner is not available to approve the user access request, an email approval from the Application Owner is required to proceed with the creation/change of user access, after which approval must be completed on the Request Form by the Application Owner for documentation purposes.

3.1.7. For changes to the assigned rights of an existing user, the requestor is to use the same form with Request Type selection as "Change User Access Rights" and provide details of the changes required to the access rights. Requests for changes must also be supported by the Supervisor of the User and approved by the Application Owner.

3.2. Creation & Maintenance of User Accounts

3.2.1. Each new User shall be assigned to unique UserID. All temporary and short- term contract staff shall also be assigned a unique UserID.

3.3. User Administration

3.3.1. For staff resignations or termination, P&O Department will be responsible to notify the IT Department and User Administrators. Actions will be taken by the respective User Administrators to disable or remove the account from the Business Application System on the last workday of the user, or a date as advised by the user's Head of Department. The actions taken will be recorded in the "Employee Termination Checklist" for IT Systems, which is submitted to P&O Department.

3.3.2. When there is a change of User Administrator, the new User Administrator will be required to immediately carry out a change of password for all user accounts which have higher level access rights.

3.4. System-Default User Accounts

3.4.1. A list of all system-default user accounts for the Business Application and the database must be obtained from the vendor of the Business Application. The passwords to these system-default user accounts must be changed after the installation of the software.

3.4.2. These passwords must also be changed upon change of the User Administrator.

ANNEX A :   NEW BUSINESS APPLICATION REQUEST FORM

New Request No : _____ *(Format : NR-YYYY-MM-NNN)*

Section A: Request Information			
Name of Requestor		**Request Date**	
Business Unit		**Department**	
New System Overview & Description			
Project Objectives Statement (POS)			
Justification & Benefits			
Stakeholders & Users			
Systems To Be Interfaced			
Request Classification	**Mandatory/Critical** **Productivity Improvement**	**Business Case Justified** **Good-To-Have**	

Section B: Authorization		
Requested by	***Supported by Department Head***	***Approved By Head of Business/Support Unit***
Name: **Date:**	**Name:** **Date:**	**Name:** **Date:**

Section C : IT Dept Assessment & Recommendation *(To be filled up by IT Dept)*	
Assessment Results	Scope is applicable to <u>single Business Unit</u>; Is NOT an Accounting, Financial and Management Reporting, Treasury, Business Intelligence or Corporate Performance Management System; Is NOT a custom-developed application software; Is NOT a cloud-based application software; Other comments : _____

Assessment Conducted By	**Name :** **Date :**	**Estimated Cost & Man-effort**	

Recommendations	Request to be jointly approved by Head of Group IT (Section D1) Request concept plan to be jointly approved by Head of Group Corporate Office and Head of SBG (Section D2) -- Remarks :

Section D1 : Requests for Joint Approval by IT Director or Above		
Approval	_____ **Name :** **Date :**	_____ **Name :** **Date:**
New Request Assignees		
Expected Start Date & Completion Date	**From :**	**To :**
Actual Start Date & Completion Date	**From :**	**To :**
User Signoff For Acceptance Of Business Application	_____ **Name :** **Date :**	

Section D2 : Requests Submitted For Joint Approval by Head of Group Corporate Office and Head of SBG	
Concept Plan Proposal	**New Business Application Request Concept is :** **Approved** **Rejected** Decision Taken On Date : _____ _____ _____ **Name :** **Name :** **Date :** **Date :**

Project Proposal	**Project Proposal is :**
	
	      Approved **Rejected**
	
	Decision Taken On Date : _____
	
	_____ _____
	Name : **Name :**
	Date : **Date :**
	
	                        Project Priority :
	Budget Amt Approved :
	
	Project Schedule : Cost Allocation Basis :
	
	Proposal Submitted By : Project Assigned To:

ANNEX A1 – Cloud/Outsourcing Application Hosting checklist

This Checklist serves as a guide to evaluate the cloud vendor. Please fill up the information as required. This checklist will only cover the general aspect of the cloud solution/vendor and does not cover the intended functionality of the application.

SECTION A – Information collection

1. Performance

No.	Item	Description	Comments
1	Availability	The percentage of time that the service is available and usable	
2	Elasticity	How fast and how precise the service can adjust to the number of resources that are allocated	

2. Service

No.	Item	Description	Comments
1	Service resilience/ fault tolerance	The methods used to facilitate resilience and fault tolerance (include mean times, maximum times, and units of measurement).	
2	Disaster recovery	The maximum time required to restart the service in an outage (RTO)	
		The maximum time prior to a failure during which changes may be lost (RPO)	
		The recovery procedures to restore the service and data	
3	Backup and restore data	The number of data backups made in a period of time	
		The methods of backup and backup verification	
		The backup retention	

No.	Item	Description	Comments
		period	
		The number of backups retained	
		The location of backup storage	
		The number of restoration tests and the availability of test reports	
		The alternative methods for restoring data	
4	Cloud service support	The available support plans, associated costs, and associated hours of operation	
		The specific contacts for service support	
		The service support methods (phone, web, tickets)	
		For incident support: the incident support hours, levels of support, response time (average and maximum), reporting methods, and notification terms	

3. Data Management

No.	Item	Description	Comments
1	Intellectual property rights	Describe any intellectual property rights the cloud service provider claims on cloud customer data and vice versa	
2	Data portability	Data portability capabilities including methods, formats, and protocols	
3	Data location	List the geographic locations that data may be processed and stored, and if the cloud service customer can specify location requests	
4	Data examination	Describe how the cloud service provider examines cloud service customer data	
5	Data residency	Describe how the data residency regulation are compiled on each of our operating countries (Singapore, Thailand, Indonesia, China)	

4. Governance

No.	Item	Description	Comments
1	Accessibility	List accessibility standards, policies, and regulations met by the service	
2	Personally identifiable information (PII)	The PII protection standards met by the cloud service provider	

No.	Item	Description	Comments
3	Information security	The information security standards met by the cloud service provider	
4	Termination of service	The process of notification of service termination, including the length of time that data and logs are retained after termination, the process for notification, and the return of assets	
5	Changes to features and functionality	The minimum time between service change notification and implementation, and service change notification method	
		The minimum time period between the availability of a feature/function and the deprecation of that feature/function	
6	Law enforcement access	The policy for responding to law enforcement requests of cloud service customer data	
7	Attestation, certification, and audits	List/define the standards, policies, regulations, and applicable certifications that the cloud service provider attests to. Include audit schedule and location policies	

Section B : Information provided by	
Name:	
Designation:	
Company:	
Date:	

Section C : IT Dept Assessment & Recommendation		
Assessment Results		
Recommendations		**Approved / Rejected** _____ **Name:** **Designation: IT Director**

ANNEX B : BUSINESS APPLICATION CHANGE REQUEST FORM

Change Request No : _____ *(Format : CR-YYYY-MM-NNN)*

Section A: *(To Be Filled Up By Requesting Department)*			
Name		**Request Date**	
Company & Dept		**Phone/Email**	
System To Be Changed			
Request Description			
Justification			
Roll-back Plan			

Section B : Authorization		
Requested By	**User Div/Dept Approval**	**IT Dept Approval**
Name : Date :	Name : Date : *(Head of Div/Dept)*	Name : Date : *(Head of IT Dept)*

Section C : Change Request Details *(To be filled up by IT Dept)*			
Impact Assessment			
Priority	High/Medium/Low	**Date Of Change**	
Assigned To		**Actual Cost/Man-effort**	

Section D : User Acceptance Of Change *(To Be Filled Up By Requesting Dept)*				
Change Acceptance Information	**Name Of User**			
	UAT Program Date & Timestamp Verified	*Name & Signature*	**Date Of Acceptance**	
Comments/Feedback				

Section E : Implementation Details *(To Be Filled Up By IT Dept)*				
Preparation In UAT Environment	**Name of Developer**			
	List Of Programs & Objects *(Attach Screen Print with Date & Time Stamp)*			
Program Release To Production Environment	**Name Of Administrator**			
	UAT Program Date & Time Stamp Verified As Correct	*Name & Signature*	**Date Of Program Release To Production**	
Comments :				

Annex C: REQUEST FOR NEW USER ACCESS & CHANGE ACCESS FORM

Section A: *(To be filled in by requesting party)*			
Requestor Name		**Request Date**	
Company & Department		**Phone/Email**	

Section B: User Info			
User Full Name			
Job Title		**Location**	
Company Name		**Windows User ID**	
Access level will be the same as this user *(for reference only)*			
Reason / Remarks			

Section C: Authorization	
Requestor	**Division/Department Head**
Name:	**Name:**
Date:	**Date:**

Section D: Software Application Request Details	
No of Request	

<<Display as selected Software Application Name>>	
Request Type	
Access level will be same as this user *for ref only*	
(To be filled in by Application Owner)	
Name	
Comments	_____ *Application Owner Signature and Date*
(To be filled in by Administrators)	

Action Date		**User ID**	
User Roles Given			
Comments	_____ *Administrator Name and Signature*		