

-

# *Primer on*

# *Access Control Logic (ACL)*

## **Index**

- 1. ACES – Transfer Modalities for Departmental Users*
- 2. Process Note for creating Workflow under Audit, Dispute Resolution and Refunds Modules*
- 3. Cleaning up of CDR data and Migration issues*
- 4. Some Instructions to RSP*
- 5. 5. ACL - Frequently Asked Questions*

\*\*\*\*\*

# 1. ACES – Transfer Modalities for Departmental Users

\* The below given steps explains detailed process for Transferring user from one location to other having the ACES application access:

Para No.	Procedure/Steps to be followed	Action by whom/Remarks
(1)	JC/ADC (P&V) will also send the hard/soft copy of Transfer/ promotion order to the COM admin which should be retained by him.	@ Originating Commissionerate=> JC_ADC -> Com-Admin
(2.1)	COM admin will delink the entire existing Commissionerate role group for that user in order to deny access to ACES application to the officer	Com-Admin <To Prevent Any New Jobs flowing to him>
(2.2)	COM admin will deactivate the user in order to remove all the pending workflow items from him and to make the user de-active so that he will no longer participate in the workflow and the pending workflow items will be moved to Task Administrator automatically.	Com-Admin <To recover ALL PENDING JOBS FROM HIM>
(3)	COM Admin of the current location will open a ticket in HP Open view (HPOV) or send an email to the System Integrator (SI), i.e. Tata Consultancy Services (TCS) helpdesk giving details of SSO ID, name and designation change (if any), in the "TRANSFER / PROMOTION /RETIREMENT TEMPLATE"	Com-Admin <a href="mailto:si.helpdesk@icegate.gov.in">si.helpdesk@icegate.gov.in</a> (1800 266 22 32)
(6)	SI helpdesk, in case of transfer, will then change the location fields in the database, for that concerned officer, to "in-transit", while in case of transfer along-with promotion; the SI helpdesk will also update the designation of that officer in the database.	SI.HELPDESK
(7)	Once Corporate OID get updated with In transit flag ACES application will schedule a job for deactivating the user. Until SSO-OID get changed consequent to joining of the officer in the new	WIPRO

	location (Commissionerate), till that time that user will be in “pause mode” and will not be appearing in any commissionerate list and will not be able to access the application	
(8)	SI helpdesk will inform the COM Admin (by email/HPOV) for successful changes.	SI.HELPDESK

**What to do in the New Location (Destination Commissionerate)?**

Para No.	Procedure/Steps to be followed	Action by whom/Remarks
(9)	JC/ADC (P&V) will also send the hard/soft copy of Transfer/ promotion order to the COM admin which should be retained by him. (About Joining of the Officer)	<b>@Destination Commissionerate=&gt;</b> JC_ADC -> Com-Admin
	Com Admin to raise a Ticket, send email, convey “JOINING REPORT TEMPLATE”	<b>Com-Admin</b>
	All further steps as discussed earlier	

**Transfer Procedures - A Case Study**

Situations	Whether the Officer is transferred <b>within</b> the Commissionerate ?	Whether the Officer will further <b><u>continue to be an ACES</u></b> Functional user?	Whether to Deactivate the Officer?	Whether to Deactivate the Role group assigned earlier to the transferred officer?	Remarks
<b>Case I</b>	YES	YES	NO	NO	Use Dummy Role Group and then Proper Role group method
Case II	YES	No	No	No (Use TA login to	Use Dummy

				reallocate and assign properly to the new officer)	Role Group method
Case III	No	Not Known	YES	No	Use Dummy Role Group method

**1. What is “Dummy Role Group and then Proper Role Group” method?**

- (1.1) ACL>Role >Create Role>(Use Designation=“Inspector” template)>Name=RL\_SP\_Dummy>Jurisdiction=<the said range>
- (1.2) ACL>Create Role group>Name-RG\_SP\_Dummy><Tick the RL\_SP\_Dummy role under this role group>
- (1.3) Now the dummy role group is ready.

Then,

- (1.4) ACL>Assign-Deassign>User-Role group>select the outgoing officer> replace the original role group with this dummy role group
- (1.5) ACL>Assign-Deassign>User-Role group>select the new incoming officer> give this original role group liberated, to this new incoming officer
- (1.6) ACL>Assign-Deassign>User-Role group>select the outgoing officer> give any proper role group to this outgoing officer appropriately replacing the dummy role group

**2. What is “Dummy Role Group” method?**

Steps (1.1). to (1.3) form the Dummy Role Group method

**In the case of Transfer outside the Commissionerate :**

**Follow the Transfer Process Document procedure**

2. Send email to [si.helpdesk@icegate.gov.in](mailto:si.helpdesk@icegate.gov.in)

Enclose the Transfer/promotion Excel template

Also raise a ticket through <http://apps.cbec.gov.in>>Menu> Service Desk

## **2. Process Note for creating Workflow under Audit, Dispute Resolution and Refunds Modules:**

Aside creating the mandatory work-flow of Range Superintendents, AC/DC of Divisions, JC/ADC of Headquarters Office and Commissioner, the Comm\_admins have to create the following additional workflows under Audit, Dispute Resolution and Refund Modules.

### **Audit Module:**

Following designations need to be created to look after the workflow in Audit Module by the Comm\_adms.

1. Audit Cell Administrator
2. Auditor
3. AC/DC(Audit Wing)
4. JC/ADC(Audit Wing)
5. Monitoring Committee.

The above designations are created the same way as that of creating any other designation under the existing mandatory workflow i.e Role is created, Jurisdiction is assigned to the created Role, Rolegroup is created and the Role is marked under Rolegroup and finally the Rolegroup is assigned to a user.

Note-Each of the above designations should be assigned to only one user in a Commissionerate.

The templates so assigned are self contained to take care of the workflow. Hence, additional Role activities need not be added.

The above designations should be assigned to exclusive officers to look after Audit as this will interfere in the "Mandatory Workflow" if assigned to any other jurisdictional officer.

### **Dispute Resolution Module (DSR):**

Following designations need to be created to look after the workflow in DSR Module by the Comm. adms.

1. SP-Review Cell
2. AC/DC-Review Cell
3. JC/ADC-Review Cell

The above designations are created the same way as that of creating any other designation under the existing mandatory workflow i.e Role is created, Jurisdiction is assigned to the

created Role, Rolegroup is created and the Role is marked under Rolegroup and finally the Rolegroup is assigned to a user.

Apart from the above designations, a request to Hqadmin must be sent to create the following designations since officers of CC's Office cannot be given profile by Comm\_admns.

1. Superintendent –Review- Chief Commissioner Office
2. AC/DC - Review- Chief Commissioner Office
3. JC/ADC - Review- Chief Commissioner Office

The templates so assigned are self contained to take care of the workflow. Hence, additional Role activities need not be added.

### **Refund Module:**

Following designations need to be created to look after the workflow of Audit Refund under Refund Module by the Comm\_admns.

1. Superintendent-Audit Refund
2. Assistant Commissioner-Audit Refund

The above designations are created the same way as that of creating any other designation under the existing mandatory workflow i.e Role is created, Jurisdiction is assigned to the created Role, Rolegroup is created and the Role is marked under Rolegroup and finally the Rolegroup is assigned to a user.

### **3. (i) Correction of details of Central Excise & Service Tax formations in ACES database**

There are certain basic requirements for the successful functioning of ACES, like proper 6 Digits Location Code for each assessee, valid e-mail Id for each assessee, business constitution in respect of Service Tax Payer etc.

2. In an endeavour to make available, the proper Commissionerate, Division, Range particulars in ACES, Directorate General of Systems has attempted to migrate the updated CDR Master into ACES, by calling for complete particulars concerning each Commissionerate. After the initial updation by this Directorate, it was noticed that some of the non-existent formations were listed in the drop down, for selection by assesses during filing of registration. Hence, another effort was made, by which list of non-existent formations along with Central Excise and Service Tax assesses in these formations were circulated to all the Commissionerates to submit the Migration particulars in the prescribed format. This was expected to help in assigning of proper/valid location codes to individual assesses and also cleaning up of unwanted/ invalid formations from the ACES database. But, the data received from the Commissionerates, sometimes, contain irrelevant information which will not help in proper migration of assessee particulars.

3. It is once again reiterated that the particulars required are as under

- 1) **Registration Number** - 15 digits PAN based / TEMP based registration number. The number should not contain any special character like space,/ etc. The file number under which the registration was issued is not a valid registration number. In such cases, the assessee may be instructed to file a fresh registration in ACES.
- 2) **Name of Unit** - Name of the assessee
- 3) **Old Location Code** - 6 digits location code from which the assessee has to be moved to a valid location code. (In case if both are same then also please specify. Only 6 digit numeric value expected. No special characters like , . etc)
- 4) **Old Location Name** - Name of the formation pertaining to the old location code.

5) **New Location Code** - 6 digits location code to which the assessee has to be moved. (In case if both are same then also please specify. Only 6 digit numeric value expected. No special characters like , . etc)

6) **New Location Name** - Name of the formation pertaining to the new location name. Please specify the name as per CDR Master.

7) **Remarks** - If any

\* \* \* \* \*

### **3 (ii) ACES – improving the quality of database with reference to registration details and cleaning up of the Commissionerate, Division and Range (CDR) data –Reg.**

\* \* \* \* \*

Please refer to the communications sent to the Commissionerates through the Com-admins asking for feedback for improving the quality of data with reference to the following:

- i) The status of the Assesseees (whether surrendered or active),
- ii) Correcting the location codes of the assesseees in order to reflect their current jurisdiction in which they are placed
- iii) Updating the data available in ACES with reference to the Commissionerate, Division and Range details
- iv) Migration of EoU units from existing customs jurisdiction to Central Excise jurisdiction.

2. The current status of the above work undertaken by this office is discussed issue wise;

- I. **Updation of current status of the assesseees in ACES database (Defunct assesseees):** It was observed that large number of assesseees who were actually 'marked' as 'defunct' in SACER database were figuring as 'Active' assesseees in ACES database, due to certain inconsistencies in the SACER and ACES database. An e-mail dated 15.1.2010 ( reminders on 10.3.2010 and 16.06.2010 ) was sent on this subject to all the com-admins along with Excel sheet containing requisite data to be acted upon. So far feed back from 57

Commissionerates have been received and the status of about 47,456 assesses have been updated in ACES.

- II. **Correction of the location codes of the assesses (Migration of the assesseees from old location code to new location codes):** It was observed that many assesseees were existing in the SACER/SAPS database against location codes that were not currently existing. This could have been due to merger or bifurcation of the field formations or due to some other reasons like non-updation of database. This lead to improper assigning of applications filed by the assesses to jurisdictions that were not existing in ACES. To correct this scenario mails were sent to all the Com-admins on 25.01.2010 (reminder on 16.06.2010). On this issue 37 Commissionerates have sent data for migration of Central Excise assesseees, 27 Commissionerates have sent data for migration of Service Tax assesseees. Total of 14,085 Central Excise assesseees and 43,457 Service Tax assesseees who were figuring in wrong location codes have been migrated to location codes indicated by field formations.
- III. **Updation of Commissionerate, Divison and Range masters Directories as maintained by DGS, Chennai:** This master contains the contact details (address, telephone number, email id) of Ranges, Divisions and Commissionerates. The details of all the field formations were not available when ACES was rolled out. The updation of this master was started in January 2010 and successfully completed on 1st September,2010, by this office based on the active co-operation from the field formations. Presently ACES has the current up to date details of all the field formations of Central Excise and Service Tax. This office is now in the process of pruning the complete data in order to have accurate data.
- IV. **Updation of Commisisonerate, Division and Range details in ACES:** Under SACER and SAPS the database with reference to the Commissionerate, Division and Ranges were maintained by the Concerned field formations, however when the migrated data was analysed in ACES database, it was observed that there were many formations(Divisions, Ranges) with names 'XXX', 'XX', 'Dummy' etc.,, which were actually non-existent. Hence, in order to rectify this discrepancy an email dated 21.05.2010 was sent to all the Com-admins along with formats for replying and requisite data to act upon. Based on the Inputs from 35 Commissionerates, we have deleted 393 non-existent formations/locations, from the database.
- V. **Migration of EoU units from existing Customs Jurisdiction to Central Excise jurisdiction:** Consequent to the transfer of the Administrative control of EOU from Customs formations to Central Excise formation during

May,2010, an email dated 15.07.2010 to all the com-admins and letters to all the Chief Commissioners of Customs and Central Excise Zones were sent to effect the migration of assesses from Customs locations in the database to appropriate Central Excise locations. On the basis of responses received form 12 Commissionerates about 880 EoU units have been migrated to the appropriate Central Excise Jurisdictions.

3. From the above it could be noticed that the field formations have actively participated in the above exercise of this office (see the Excel Sheet attached, indicating performance of the commissionerates). However, there is scope for further improvement. With active participation of the field formations we can achieve the ideal of having a 100% perfect database.

4. It is further requested that, those field formations that have not sent the data requested above till date, may kindly send the same immediately. Any difficulty in carrying out the above mentioned activity may kindly be taken up with this office for guidance

### **3 (iii) CDR MIGRATION**

#### ***ACES – C/D/R, Migration, Role/Role-Group – New facilities available to Com-Admins/Supdts in ACL Module – Reg.***

As you are aware, considerable efforts have been taken by Directorate General of Systems in displaying of accurate Commissionerate / Division / Range details to the trade in ACES and prompt actions have been taken when requests for migration of units from one jurisdiction to another were received from Commissionerates. In an attempt to update modifications, if any, in the C/D/R details at the Commissionerate level and to reduce avoidable delays in migration of units within jurisdictions, a few menus have been introduced under the ACL Module in ACES. The new menus will enable Com-Admins to perform the following functions in respect of their Commissionerates.

- (1) The Commissionerate / Division / Range master details like location code, address, phone numbers, email-ids etc. can be updated by Com-Admins of their Commissionerates.

ACL > Masters > Commissionerate Master > Create / Modify / Delete / View

ACL > Masters > Division Master > Create / Modify / Delete / View

ACL > Masters > Range Master > Create / Modify / Delete / View

The C/D/R master details have already been updated by DGS, Chennai. If further modifications / updations / corrections / deletions are required in future, the same may be carried out by the Com-admins themselves, after taking (Manual) approval from the jurisdictional Commissioner.

In addition to the above, two more fields viz., Scope & Jurisdiction have been added in the Masters.

- (a) Scope - Scope details, whether Central Excise, Service Tax or Both - should be assigned by the Com-Admins according to the jurisdictions concerned.
- (b) Jurisdiction – Jurisdiction column guides the user by providing instructions. Comm-Admins should fill-in the details of the jurisdictions Service-wise / Commodity-wise / territory-wise after (Manual) approval from the jurisdictional Commissioner.

The Com-Admins would be responsible for maintaining this data i.e., updating any modification in future that may occur from time to time, for their respective Commissionerates.

- (2) There are two upload functions Com-Admins can perform within Commissionerate jurisdictions Under ACL Module for migration of assesses data from one Location Code to another within the Commissionerate.

- (a) ACL > Bulk Jurisdictional Upload

There are frequent service requests coming from various commissionerates for updating jurisdiction for assesseees either because of restructuring of jurisdiction or due to correction of migrated records. Under 'Bulk Jurisdictional Upload', bulk updation of jurisdictions has been automated where Com-Admins themselves can upload restructuring / migration data under their Commissionerates. In case of restructuring / migration from one Commissionerate jurisdiction to another, the request may be forwarded to the HQADMIN vide [hqadmin.prime@icegate.gov.in](mailto:hqadmin.prime@icegate.gov.in). A sample .xls format has been provided under the 'Bulk Jurisdictional Upload' menu.

- (b) ACL > Bulk Jurisdictional Upload View

The above upload process may take 24 hours to take effect. The changes effected after the upload process can be viewed under this menu, the following day.

- (3) So far, updation of email ids and regeneration of passwords were shown under different menus in ACL module creating confusion among Com-Admins and Range Supdts. Now both the features have been merged under 'Status Management Assessee' in ACL. Com-Admins may be instructed to inform Range Supdts suitably about this change.
- (4) In so far, Roles and Role Groups once created cannot be deleted resulting in a bulk of redundant Roles and Role groups residing with Com-Admins. Under the new feature, redundant Roles and Role Groups can be deleted by Com-Admins. However, it is advised that utmost care should be taken before performing this function to avoid deletion of active Roles and Role Groups. It is advisable to maintain a Manual / Electronic Register, containing details of deleted Roles and Role groups, along with date and time of deletion.

## **4. SOME INSTRUCTIONS TO RSP**

Com- Admin may kindly request each Range SP to make use of the following ACL module activities for effective functioning under ACES:

### Step 1:- Undelivered TPIN

List of 15-digit Accessee Registration Number, Name and TPIN are diaplayed. Units to which EMAIL were sent and bounced, would be listed here.

### Step 2- Change Email Id

Obtain the correct email id for that assessee. Even if the existing email id is correct please re-enter, SAVE and SUBMIT

### Step-3 Status Management Assessees

List of Assessee name, 15-digit Assessee Registration number, Status are displayed. *Select the assessee > Regenerate password > SAVE and SUBMIT*

### Step-4 Status Management Assessees

List of Assessee name, 15-digit Assessee Registration number, Status are displayed. *Select the assessee > ACTIVATE > SAVE and SUBMIT*

Step -5 Also advise the assessee to CHECK whether the mail landed in SPAM.

Step-6 Under REP (Reports) module, status of migration of assesseees may be found by generating a report now.

## **5. ACL - Frequently Asked Questions**

### **Q1. I am the Comm Admin of, say, Ahmedabad-I Commissionerate. What are my primary duties?**

A1: There are four primary duties for a COM-ADMIN, as mentioned below:

#### **(I) Activation of Commissionerate Users**

ACL > User >> Activate Commissionerate User >>> Search  
Search => (enter) First Name (or) Designation >(click) Search  
⇒ the intended Officer data record appears >  
⇒ User Type=User > SAVE >> SUBMIT

#### **(II) Creation of Role**

ACL > Role >> Create  
Create Role >  
(select Officer template from the List of Officer Designations)  
Create Role => enter Role name >> enter brief description of the Role  
>>> SAVE >>>SUBMIT  
> Assign-Deassign >>Role-Jurisdiction  
Select the Division >> NEXT >  
>>Select the Range  
>>> SAVE >>>SUBMIT

*NOTE: Assign-Deassign >> Role-Activity is NOT NEEDED NOW  
Why? (See Note-1 to A1)*

#### **(III) Creation of Role Group**

ACL > Role Group >> Create  
Create Role Group => enter Role Group name >>  
>>Enter brief description of the Role group  
>>> SELECT (TICK) the intended Role/Roles  
>>>> SAVE >>>> SUBMIT

*NOTE: Can I leave the Role Group empty i.e. without any Role attached to it?  
(Find out in Note-2 to A1)*

#### **(IV) Assigning the Role Group to a User**

ACL > Assign-Deassign >> User-Role Group

SEARCH>

>List of username, name of the Officer user, designation of the user appears >

>> SELECT the username >> click the blue-colour hyperlink

>> List of Role Groups appears

>>> SELECT the unique Role group to be assigned to the intended Officer

>>>> SAVE >>>> SUBMIT

#### **Q2. What is Task Administrator or TA?**

NOTE: Please See the attachment file captioned  
“ACES\_1\_TA and WORKFLOW.doc”  
sent through e-mail to all COM-ADMINs by the HQADMIN

#### **Q3. What are the ACL functions with regard to Assesseees?**

There are three critical functions available for a COM-ADMIN under ACL with regard to assesseees. However, at the time of roll-out of ACES, these ACL functions are made available to all Range Superintendents also by default (in addition to Com-Admin) in order to facilitate effective handling of the bulk work involved at this stage. They are:

- (I) STATUS MANAGEMENT ASSESSEE
- (II) UNDELIVERED TPIN
- (III) CHANGE EMAIL ID OF ASSESSEE

In this regard please see the attachment file captioned  
“ACES\_5\_Range\_SP\_Note.doc”  
sent through e-mail to all COM-ADMINs by the HQADMIN

**Note-1 to A1:** When the Officer template is chosen at time of creation of role, the standard activities performed by the Officer under different Modules of ACES are chosen automatically in ACES.

Role-Activity to be made use of ONLY when changes to the normal general set-up is proposed in a formation.

**Note-2 to A1:** No. ACES requires you to keep atleast one active role in a Role Group so that, in turn, the Role Group is kept Active.

**For any further clarifications, please contact the ACL team at DGS Chennai  
(Shri V. Siva Kumar / Shri. KV Saumyanarayanan)**

**Tel.: 044-28331106/28331051**

**[hqadmin.prime@icegate.gov.in](mailto:hqadmin.prime@icegate.gov.in)**

**FAX: 044-28331104**

\* \* \* \* \*