DOCUMENT CONTROL

PROCEDURE

KING SAUD UNIVERSITY
DEANSHIP OF E-TRANSACTIONS & COMMUNICATION

VERSION 1.1
INTERNAL USE ONLY
# Revision History

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<th>Ver.</th>
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<td>Dr. Mohammed A Alnuem</td>
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1. **PURPOSE**

The Purpose of this procedure is to enforce a consistent way to maintain, evaluate and update the ISMS documentation and respective records and ensure that changes to this documentation are performed in a controlled and systematic manner.

2. **SCOPE**

This procedure applies to King Saud University (KSU) - eTransactions & Communication (ETC) Deanship and all parties, its affiliated partners or subsidiaries, including data processing and process control systems, that are in possession of or using information and/or facilities owned by KSU-ETC Deanship.

This procedure applies to all staff/users that are directly or indirectly employed by KSU-ETC Deanship, subsidiaries or any entity conducting work on behalf of KSU that involves the use of information assets owned by ETC Deanship.

3. **RELATED POLICIES AND PROCEDURES**

- ISMS Management Policy.

4. **PROCEDURE ENFORCEMENT / COMPLIANCE**

Compliance with this procedure is mandatory and ETC Deanship managers shall ensure continuous compliance monitoring within their departments. Compliance with the statements of this procedure is a matter of periodic review by Risk & Information Security Department and any violation of the procedure will result in corrective action by the ISMS Steering Committee.

Disciplinary action will be depending on the severity of the violation which will be determined by the investigations. Actions such as termination or others as deemed appropriate by ETC Management and Human Resources Department will be taken.

5. **DOCUMENT OWNER**

- ISMS Manager
6. **Roles & Responsibility**

Each role involved in this procedure shall have main responsibilities as follows:

1. **ISMS Manager**
   - Develops, maintains and updates this procedure.
   - Approves / Rejects the modification requests.
   - Implements the approved modification.
   - Informs the requestor about the outcome of his request.
   - Updates the ISMS Modifications Log File.
   - Reports annually to the ISMS Steering Committee the changes to the ISMS documentation that have taken place (if any).

2. **ISMS Steering Committee**
   - Approves / Rejects the Change request when it concerns changes to Policies and Procedures.

3. **Information Security Officer**
   - Fill in the ISMS Document Change Note and forward it to the ISMS.

7. **Invocation**

This procedure shall be followed whenever there is:

- **Update/Modification of ISMS Documentation**
  To ensure the modification of procedures and controls is adequate to respond to internal/external changes that may impact security, including:
  - Business requirement.
  - Security requirement.
  - Regulatory/ legal requirement.
  - Acceptable level of risks/criteria.
8. PROCESS FLOWCHART

Document and Records Control Procedure

Start

Step 1
ISMS Document Change Request
ISMS Document Change Request Form

Step 2
Review Request

Decision

Step 4
Implementation

Step 5
Inform Requestor

ISMS Documentation Change Log

End

ISMS Steering Committee

Step 3
Approval

Decision

Information Security Officer

Step 1
ISMS Document Change Request

Step 2
Review Request

Step 3
Approval

Step 4
Implementation

Step 5
Inform Requestor

Input or output information

Input/Output

1 Follow to step no.

Another related procedure

Reference to another procedure

Start and end of the procedure

Start / End

Document / Form

Form

Storage to file

Log/Record

Flow of 2 or more different decisions

Decision

A decision in a procedure

An activity / step

Step 1

Identified need for document change

Start
9. **Procedure Details**

This section reflects the broad activities/steps to be carried out in the procedure.

<table>
<thead>
<tr>
<th><strong>Step 1: ISMS Document Change Request</strong></th>
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</thead>
<tbody>
<tr>
<td><strong>Responsibility</strong></td>
</tr>
<tr>
<td><strong>Input</strong></td>
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</table>
| **Actions** | - Fills in and forwards the Document Change Request Form to the ISMS Manager.  
- The type of the requested change must be clearly stated in the form (security policies, security procedures, organizational structure). |
| **Output** | Document Change Request Form |

<table>
<thead>
<tr>
<th><strong>Step 2: Review Request</strong></th>
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<tbody>
<tr>
<td><strong>Responsibility</strong></td>
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<tr>
<td><strong>Input</strong></td>
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</table>
| **Actions** | - Reviews the completed form.  
- If the requested change involves Major changes in the security policies, the security principles or the organizational structure, he forwards the form to the ISMS Steering Committee for evaluation. |
| **Output** | None. |

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<thead>
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<th><strong>Step 3: Approval</strong></th>
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<tbody>
<tr>
<td><strong>Responsibility</strong></td>
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<tr>
<td><strong>Input</strong></td>
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</tbody>
</table>
| **Actions** | The committee evaluates the request:  
- If the ISMS Steering Committee approves the change, go to step 4.  
- If the ISMS Steering Committee rejects the change, the ISMS Manager informs the requestor of the rejection. |
| **Output** | Change approval / rejection |
STEP 4: IMPLEMENTATION

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>ISMS Manager</th>
</tr>
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<tbody>
<tr>
<td>Input</td>
<td>Document Change Request Form</td>
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<tr>
<td>Actions</td>
<td>Implements the document change</td>
</tr>
<tr>
<td>Output</td>
<td>Document change – issue of new version</td>
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</table>

STEP 5: INFORM REQUESTER

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>ISMS Manager</th>
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<tbody>
<tr>
<td>Input</td>
<td>Decision on change request.</td>
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</table>
| Actions        | • He informs the requestor about the outcome of his request.  
                 • Updates the ISMS Documentation Change Log File |
| Output         | • ISMS Documentation Change Log  
                 • Requestor update |

10. OUTPUTS
The following activity will be an output of the process.
- ISMS Document Change

11. RECORDS
The following are the list of all applicable records that are the evidence of implementation of the Process.
The records are maintained in hard and soft copy.
- ISMS Document and Records Change Request Form.
- ISMS Document Change Request Log File.

12. REFERENCES
The following are the useful references which can be used to carry out the defined process based on ISO 27001 standards.
- 4.3.2
- 4.3.3
### ANNEXURE

#### 13.1 ISMS DOCUMENT AND RECORDS CHANGE REQUEST FORM

<table>
<thead>
<tr>
<th>Date</th>
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<tbody>
<tr>
<td>Requested by</td>
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<td>Document Title</td>
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<td>Proposed Changes</td>
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<td>Documents Influenced by Change</td>
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<tr>
<td>Approved by Requestor’s Manager</td>
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<td>Approval by ISMS Manager (if no approval, please provide clarification)</td>
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<td>Approval by ISMS Management Steering Committee – when required (if no approval, please provide clarification)</td>
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<td>Change Implementation by</td>
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<td>Implementation Date</td>
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<td>Verification by ISMS Manager / Date</td>
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### 13.2 ISMS Document Change Request Log File

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<th>Requestor’s Name</th>
<th>Request Date</th>
<th>Approved by</th>
<th>Approval Date</th>
<th>Change Description</th>
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