

Control of Document Procedure

KG Invicta Services (KGiS)

[Ref: ISM-PLC-DOC-04]

[Ver: 1.0]

[05th April 2023]

[Classification: Internal]

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1 Document Control

1.1 Document Owner and Approval

KGiS's Information Security Office (ISO) is the accountable owner of this procedure. The ISO is responsible for ensuring that this document is reviewed periodically by the relevant stakeholders in line with the review requirements of the Information Security Management System (ISMS).

A current version of this document is available to all KGiS members at the corporate Intranet and is published on 05th April 2023.

This procedure document was approved by the Head of ICT on 05th April 2023 and met the required Documentation Quality Standard and is issued on a version-controlled basis under the signature.

Name: Shanmugam C

Designation: GM - ICT

Signature:

Date: 05th May 2023

1.2 Amendment History Record

Version	Description of Change / Action	Resource	Date
1.a	New draft baseline of ISMS procedure	Harikrishnan P	04 th May 2023
1.0	Verified and Approved By	Shanmugam Chinnasamy	05 th May 2023

1.3 Cross References

All reference documents available in – Shared Folder
ISO 27001– Information technology – Security Techniques – Information security – Requirements
ISO 27002 – Information technology – Security techniques – Code of practice

1.4 Document Sign off and Distribution

Name	Designation	Signature	Version	Date
Shanmugam Chinnasamy	GM- ICT		1.0	05 th May 2023

Document Distributed for Internal Approval.

Stakeholder	Date
All Head of Departments and Departments	

2 Definitions & Glossary

Term	Definition
Document	Document is a written or printed representation of information in hard or soft format, which can be used as a reference in the organization.
Document Template	The Document Template specifies the layout or format to be applied during document creation. Refer appendix for details of Document Template.
Department ID	The department ID is a 3-letter code which represents the department to which the document belongs to. Refer to appendix for details of Department ID
Document Title	The Document Title represents the uniquely identifiable name or the identifier of the document.
Document Type	The document type is a 3-letter code which represents the type of information contained in a particular document. Refer to appendix Document Type
Document Version	The Document Version identifies the version of each document created. This serves as an indicator to the number of changes and the type of changes the document has undergone since its creation.
Document Nomenclature	The Document Nomenclature is the naming convention for any document created in KGiS. The nomenclature is a combination of document ID, document title, document type and document version

3 About the Document

3.1 Introduction

The Control of Document procedure is a fundamental aspect of effective document management within an organization. It provides a systematic approach for creating, reviewing, approving, distributing, and controlling documents to ensure accuracy, consistency, and accessibility. The control of documents is essential to maintain organizational knowledge, support compliance requirements, and facilitate efficient operations.

3.2 Objective

The objective of this procedure is to enable KGiS to maintain accurate, up-to-date, and secure documentation. It promotes consistency, facilitates information sharing, supports compliance, and enhances overall operational efficiency and effectiveness.

3.3 Scope

This procedure applies to all information assets management owned or managed by the KGiS ICT staff (permanent, contract employees, and students), and external parties (contractors, consultants, vendors, suppliers, partners and customers)

3.4 Roles and Responsibilities

- Head of ICT is responsible to review and approve this procedure and to ensure that it reflects the current requirements.
- Information Security Officer (ISO) is responsible for:
 - Review and approval of new document type for IT.
 - Ensure Distribution of documents related to all departments is controlled.
 - Enforce authors of documents of all departments to follow this procedure.
 - Reviewing and recommending storage requirements for documents
 - Revision and modification of this procedure.
 - Implementation of this procedure in all ISMS document.
 - Obtaining suggestions and recommendations from different stakeholders of the process.
 - Create and update the measurement metrics and measure effectiveness of the procedure.
- Document Author/Reviewer/Approver is responsible for:
 - Following this procedure for all documents prepared within a department.
 - Ensuring that the documents are stored as per recommended security controls.
 - Incorporating recommendations as suggested by the Information Security Officer.
 - Retaining and timely disposing of documents created by all departments.

- Distributing the documents as per the recommended channel.
- ISMS internal audit Team is responsible for conducting regular audits to ensure compliance to this procedure.

4 Procedure

The processes that need to be followed for the effective implementation and management of this procedure are explained in this section.

The Control of Document procedure includes the following main stages:

- Document Identification
- Storage and Protection
- Publication
- Distribution
- Review

4.1 Document Identification

- Document Identification is the first stage in the Document Control procedure. Every document created by sections within ICT department should be associated with a particular "Document type" which is indicative of the purpose of the document. All the document types should be approved by the document owner.
- In case the Document type is not identified, a New Document Type Request form should be filled by the document author/ owner and submitted to the concerned section head.
- Document author/owner should fill the following details in the "New Document Type Request" form while requesting for creation of a new document type:
 - Details of new document type and other necessary details
 - Any particular storage requirement in line with the business requirements
 - Any particular protection measures required in line with the business requirements.
- The respective section head should verify the request details and approve a new document type, as may be required. If the requested "Document Type" already exists or not needed based upon current organization requirements, the same should be informed to the requesting author/owner.
- The Information Security Officer shall review the storage and protection requirements based upon discussion with the concerned document author/owner. The details should be recorded in the request form with recommended best possible storage and protection controls to secure the records.
- The request form should be finally approved by the section head and communicated to the document author/ owner as a confirmation of their request. The signed form should be maintained and a copy of which should be shared with respective department.

- Once the “Document Type” is identified, the approved standard document template should be used to create all documents of that type.
- The document templates should specify the overall layout of the document including the font size, shape, colour, paragraph spacing and the main points mentioned in the table of contents.
- All document authors should follow the approved Document template. The appropriate document control sections should be filled in along different stages of document preparation:
 - Document Identification
 - Document Publication History
 - Document Revision History
 - Document Distribution List
 - Document Approval History
- The header and footer of the document should be appropriately updated by the document author to reflect the identifications of the document in a clear manner.
- The document properties should be appropriately updated by the document author:
 - Name of the Author
 - Title of the document
 - Category of the document: based upon classification level of the document.
- All documents created should be reviewed by the concerned document reviewer (s) before publication. Based upon reviews, the changes should be incorporated into the document by the document author.
- All pre-publication reviews or changes to the document should be saved with a separate minor change version number. The major change version number for pre-publication changes should always be maintained as 0.
- All such pre-publication reviews happen internally between the document author and the concerned reviewers without any communication to other users.
- All such pre-publication changes should be tracked under the appropriate document control section i.e. Document Revision History which should include the date of change, name and role of the person who has done the change and a brief description of the change..
- Once the pre-publication reviews are over, the document should be sent to the ISO for a quality review to ensure that the document meets the quality standards of KGiS.
- Once the quality standards are verified, the document should be prepared for final publication.

- Any documents of external origin should be identified separately, and the document should be labeled with type "Ext" should be assigned to it.

4.2 Storage and Protection

- The Storage and Protection is the second stage in Document Control Procedure. The documents reviewed and verified in the Document Identification stage or later in the Document Review stage should be approved by the document approver before finally publishing the document.
- All such document approval history should be tracked under the appropriate document control section i.e. Document Approval History which should include the date of approval, name and role of the person who has approved the document and comments, if any.
- Any printed format of the document should have the signed approval from the document approver in the appropriate document control section i.e. Authorized Signatory prior to the official usage.
- The level of security controls required for storage of the documents should be in accordance with the classification of the document.
- The document created may get stored in hard format, soft format or in both. Documents in hard format may need to be stored in the allocated storage rooms or shelves while documents in soft format may need to be stored in the allocated IT systems like servers, Medias and tape drives.
- If the recommendation from Information Security Officer, and as agreed during identification phase above, results in procurement of a new facility, technology, hardware or software, the same shall be managed by the established procurement methods by the concerned department.
- If the recommendation from Information Security Officer doesn't involve any new procurement, the existing controls as agreed should be followed for securing the new record type.
- All the documents should be protected during its complete life cycle and should be disposed in a secured manner at the end of its retention period.
- The document owner should ensure that the documents of external origins are also stored and protected as per the recommendations from Information Security Officer.

4.3 Publication

- The Publication is the third stage in Document Control Procedure. The documents created, reviewed and approved during the previous stages should be prepared for publishing to its intended audience.
- The reviewed and approved documents should be published with major change version number as 1 and minor change version number as 0 for first official copy of the document.
- The minor change version number should be changed with every new official copy of the document, based upon continuous review & update cycle.
- The publication of the document should be tracked under the appropriate document control section i.e. Document Publication History which should include the following.
 - Document Authored by
 - Document Reviewed by
 - Document Approved by
 - Effective Date
- If the author, document reviewer and document approver as mentioned under document publication history agrees, the pre-publication changes can be removed from document review history before publishing the document as v1.0.
- The Effective Date of the document should never change once it is officially published. Every revision of the document should only change the minor change version of the document with changes in the relevant document control section.
- Once the document is formally approved, the concerned section head should advice document author/owner on the appropriate channel that should be used for distribution of the document for publication.
- Depending upon the business requirements, particular document shall be printed in hardcopy and the authorized approver of the document should sign the document under appropriate document control section i.e. "Authorized Signatory"

4.4 Distribution

- The Distribution is the fourth stage in Document Control Procedure. The documents, either new or updated, should be made available to the authorized audience through the appropriate distribution channel.
- All distribution history should be tracked under the appropriate document control section i.e. Document Distribution List which should include the name of the person, department/organization they belong to and the purpose of viewing the document.

- The document author/owner should ensure that the documents are made available to the concerned people as and when they require the same.
- The document author/owner should distribute the documents only through the recommended channels as approved by the Information Security Officer.
- Appropriate security controls should be taken into consideration while distributing the documents, both in hard and soft formats. These security controls should be in line with the recommendation obtained from Information Security Officer during Identification stage.
- The level of security controls implemented for distribution should also be in accordance with the classification of the document.

4.5 Review

- Review is the fifth stage in the Document Control Procedure. The documents published and distributed should be reviewed, approved and re-distributed to accommodate any changes, as may be required.
- Any changes done should be tracked under the appropriate document control section i.e. Document Revision History which should include the date of change, name and role of the person who has done the change and a brief description of the change.
- The reviewed document should be approved and re-distributed as may be required based upon the steps described above.

4.6 Roles and Responsibilities Matrix

Roles/ Responsibilities	Document Owner	Document Author	Document Reviewer	Document Approver	Information Security Officer
Identification	A	R	R		C
Storage & Protection	R,A	R		R	
Publication	A	R			
Distribution	A	R			
Review	A	R	R	R	C,I

R Responsibility – The personnel who is responsible for performing the task.

A Accountability – The personnel who is accountable for the process or data.

C Consulted – The personnel who provide opinions or suggestions.

I Informed – The personnel who should be informed with the progress and updates.

5 Record Template

Following are the records that get developed as a part of this process – Control of Document Procedure

New Document Type Request Form



New Document Type
Request Form.docx