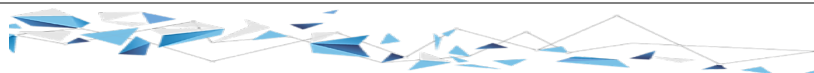


ADIB –Procedure
(UAE)

Document Change Control Procedure PRC-ITD-001

Date: 30^h April 2023
Version: 23.0



Version Control & Change Management

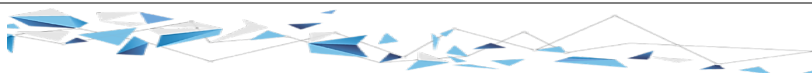
Version	Issue Date	Details of Change	Reason for change
23.0	April 2023	Modified control related to awareness session: Governance Team shall arrange for awareness sessions whenever a major change or update has been made in Technology related high-level documents	Process enhancement.
22.0	February 2023	Updated control: Send awareness invitation emails to the entire ITD for all the new & updated documents published with major change. Removed reference to Form-ITD-001	Process enhancement. Form-ITD-001 has been automated
21.0	30th April 2022	No change	Annual review
20.0	30 th April 2021	Modified responsibilities and updated KPI section	Annual review
19.0	Publishing Date	Realigned as per new organization structure	Organization Restructuring
18.1	Publishing Date	Document republished. No change required	Process review cycle
18.0	Publishing Date	Review Cycle Changed to 1 year, Added RACI matrix, updated KPIs with frequency and measurable targets	Updated as per the Policy and procedure framework in line with the current practice
17.0	Publishing Date	Multiple minor and major changes resulted by review of Consultant	ITD Control Improvement
16.0	Publishing Date	- Updated the reference section - Access granted to specified users once document is published	NESA Compliance Requirement
15.0	Publishing Date	Major change in terms of process workflow. (Now involving Document Management tool and IT SERVICE MANAGEMENT TOOL)	Updated the references against process steps. - rearranged the process steps sequence
14.1	Publishing Date	Updated the references section and flow chart diagrams with the ones in Document Management tool Included Document Management tool and HPIT SERVICE MANAGEMENT TOOL references Included risk manager reference for major changes review and IT SERVICE MANAGEMENT TOOL	Update as per current practice Clarify the major and minor change To be in line with the O & T guidelines
14.0	Publishing Date	Streamlining of complete procedure	Process Optimization

Prepared by	Approved by	Reviewed by
IT Governance Team	Head of OCIO	Technology Governance Manager



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1. Purpose & Scope

The objective of this procedure is to define mechanism to control (Identify, Create, Modify, Review, Approve, Publish, Storage, Protection, Retrieval, Removal) of ADIB ITD Process Documents.

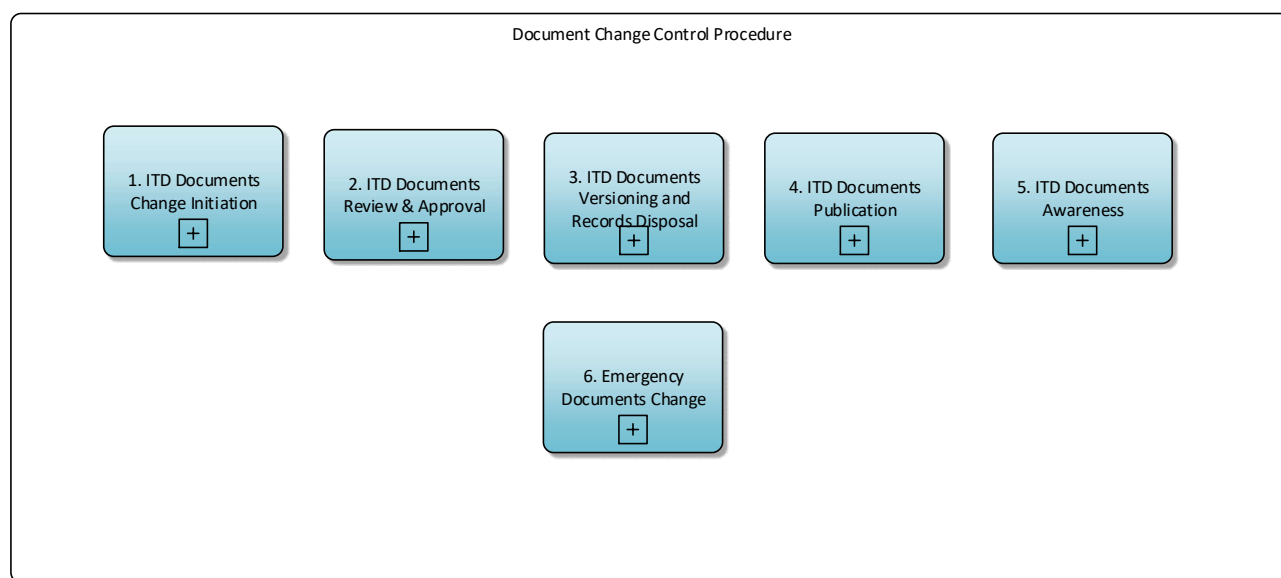
2. Process Owner

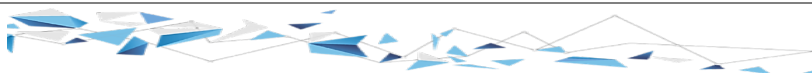
Head of OCIO

3. RACI

Roles / Activity	IT Governance Manager	Process Owner	Head of OCIO
Document Change Initiation	I	AR	C
Documents review and Approval	R	A	C
Documents Versioning and records disposal	AR	C	I
Documents Publication	AR	R	I
Documents awareness	A	R	I
Documents monitoring and review	AR	R	I
Emergency Document Change	A	R	R

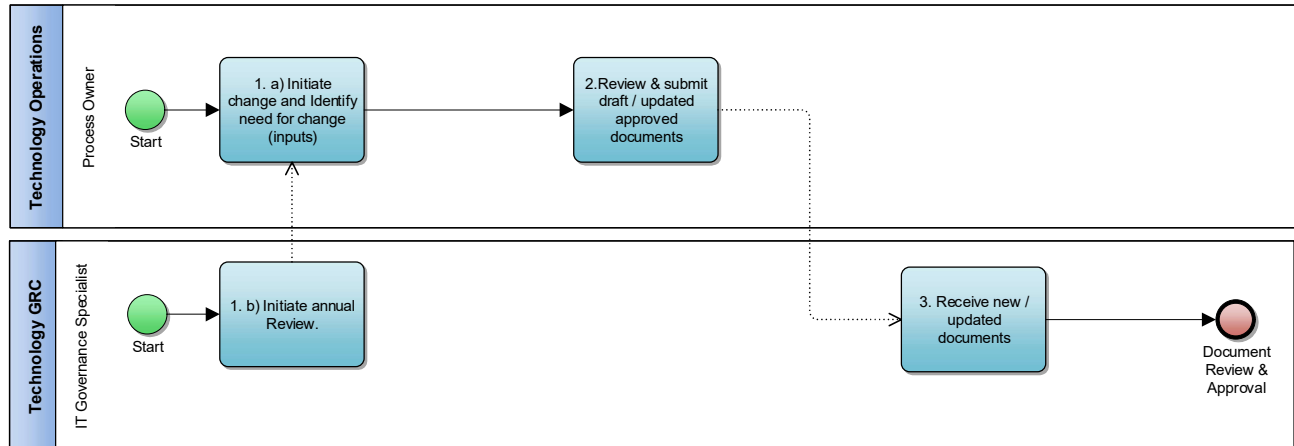
4. Document Change Control – High Level Workflow



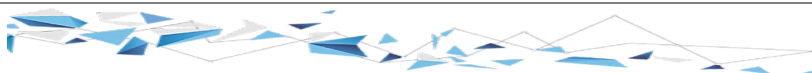


5. Detailed Process Description and Workflows

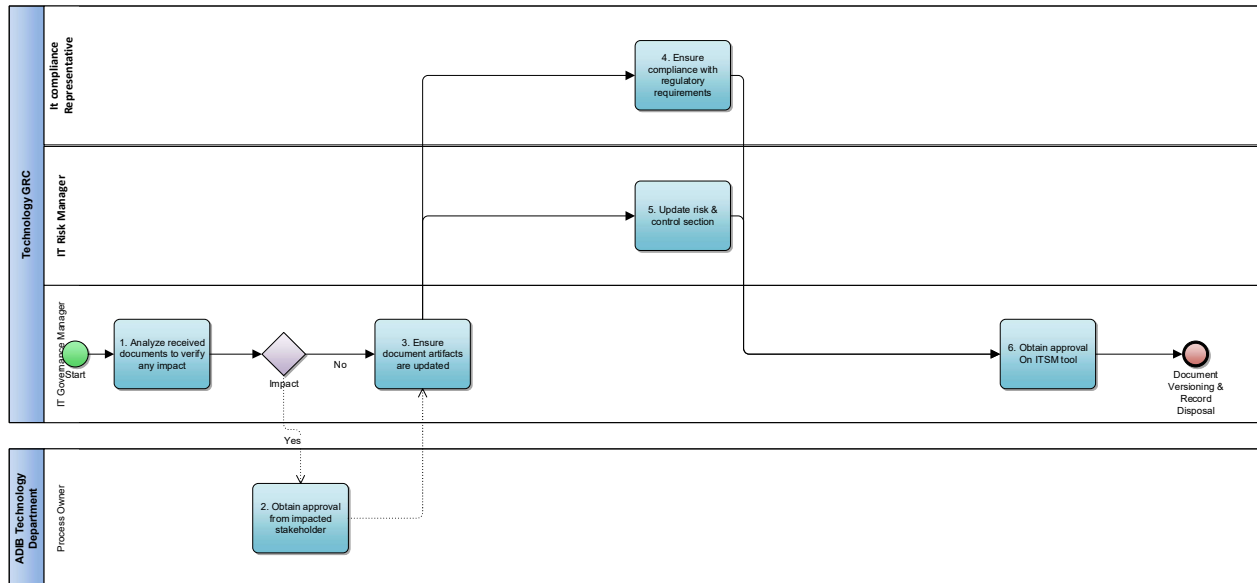
5.1 ITD Document Change Initiation



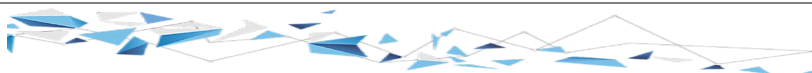
Sr. No.	Process Step Description	Responsibility	Document (STD, PRC, FORM, CL, TML WI) / Tool Reference
1.a	Initiate change in the existing and/or new document on following inputs: <ul style="list-style-type: none">Internal / external audit findingsChanges in statutory / legal requirementsInternal reviews by ITD Functional Departments, Improvement initiatives / projects taken up by ITD managementDeployment of new tool or application in the function etc.Based on the feedback from periodic document review cycle	Process Owner	Change Request in IT service Management tool
1.b	Annual Review Notify the document owners of to-be-reviewed documents, if not initiated by the document owner within one-year duration.	IT Governance Manager	Email
2	Submit new draft / updated document under track change mode to technology governance team along with approvals and justifications.	Process Owner	Email TML-ITD-001 Procedure Template TML-ITD-062 Standard Template TML-ITD-008 Policy Template
3	Receive new draft / updated document	IT Governance Manager	



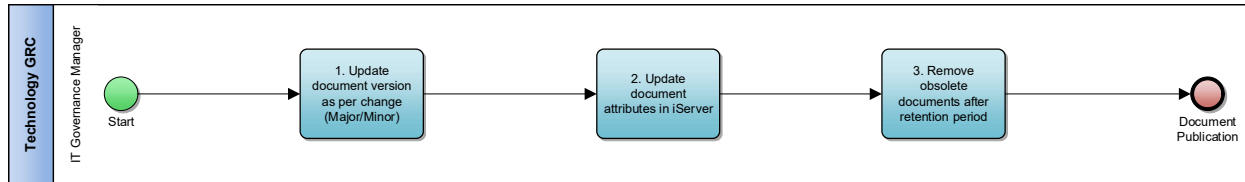
5.2 ITD Document Review & Approval



Sr. No.	Process Step Description	Responsibility	Document (STD, PROCEDURE, FORM, CL, TML WI) / Tool Reference
1.	Analyze the received draft / updated document for further action. Verify whether corresponding documents and relevant Policies/standard/procedures are impacted due to change in the proposed draft / updated document.	IT Governance Manager	Updated Change Request
2.	Obtain approval from impacted stakeholder if other document or stakeholders are impacted.	Process Owner	Email
3.	Otherwise, ensure document identification, numbering, process-flow, and layout are aligned and updated as per guidelines.	IT Governance Manager	STD-ITD-001 ITD Document Change Control Standard
4.	Review/add Risk and Controls Section for the respective procedure document.	IT Risk Manager	Email
5.	Ensure compliance with regulatory requirements for the respective procedure document.	IT-Compliance and Security Architecture	Email
6.	Complete and obtain required approvals for the respective process documents on RFC as per the approval matrix. - Fill out Document Change Impact Analysis table which is part of the change request.	T Governance Manager	STD-ITD-001 ITD Document Change Control Standard IT Services Management Tool

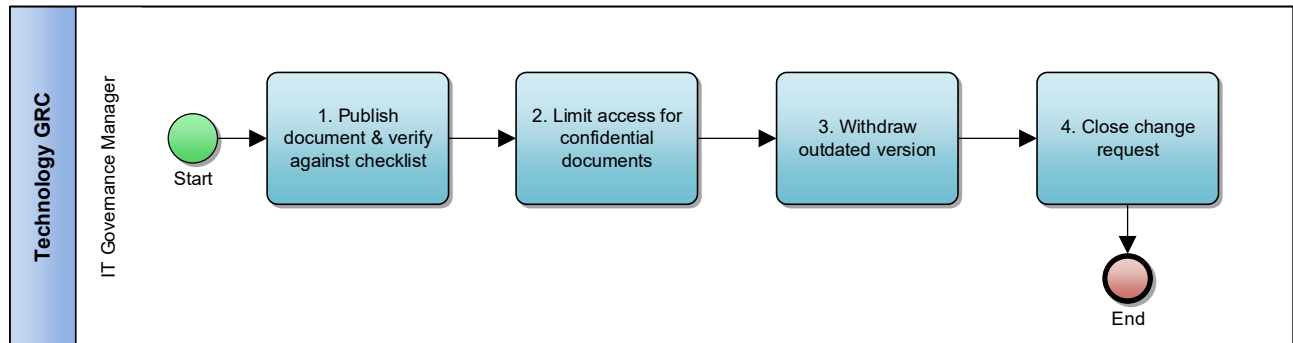


5.3 ITD Document Versioning and Records



Sr. No.	Process Step Description	Responsibility	Document (STD, PROCEDURE, FORM, CL, TML WI) / Tool Reference
1	Once Document change is approved, update the attributes of new /updated document in WIP library.	IT Governance Manager	Document Management tool
2	Based on the type of change (Major or Minor), update the document version and reflect it wherever required	IT Governance Manager	
3	Once ready, update document attributes in iServer and move document to source repository.	IT Governance Manager	Document Management tool
4.	Remove the obsolete documents and records, which have completed their retention period	IT Governance Manager	

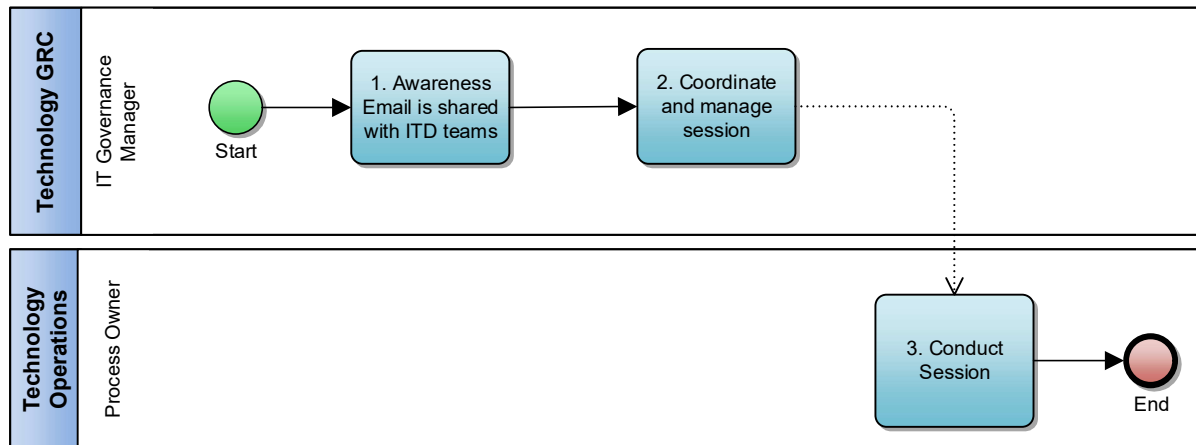
5.4 ITD Documents Publication



Sr. No.	Process Step Description	Responsibility	Document (STD, PROCEDURE, FORM, CL, TML WI) / Tool Reference
1.	Move the document to Portal Library for publishing and verify the document against Document Publishing Checklist	IT Governance Manager	Document Management tool
2.	Limit access to specified users for confidential documents, aligned with document classification	IT Governance Manager	Document Management tool
3.	Withdraw the outdated version of the document	IT Governance Manager	Document Management tool
4.	Close Request for Change along with closure comments.	IT Governance Manager	IT Services Management Tool

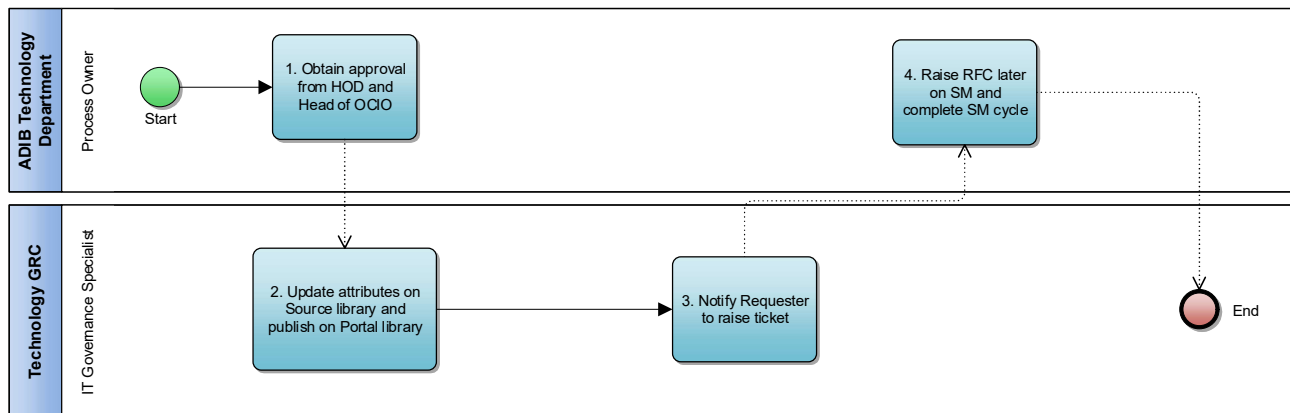


5.5 ITD Documents Awareness



Sr. No.	Process Step Description	Responsibility	Document (STD, PROCEDURE, FORM, CL, TML WI) / Tool Reference
1	Send awareness invitation emails to the entire ITD personnel to educate them of all the new & updated high-level documents with major changes published on the ITD Process Document portal	IT Governance Manager	Email
2	Coordinate and manage scheduled awareness Session	IT Governance Manager	Attendance Sheet-Awareness Session
3	Present the respective process documents in the awareness session	Process Owner	

5.6 Emergency Document Change



Sr. No.	Process Step Description	Responsibility	Document (STD, PROCEDURE, FORM, CL, TML WI) / Tool Reference
1	In case of any emergency document change request, obtain approval of the Head of Department and Head of	Process Owner	Email



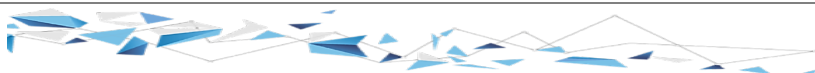
Sr. No.	Process Step Description	Responsibility	Document (STD, PROCEDURE, FORM, CL, TML WI) / Tool Reference
	OCIO on changes in the document and provide it to Technology Governance team		
2	Update the attributes in Source Library for emergency change and publish on Portal Library immediately.	IT Manager Governance	Document Management tool
3	Notify requester to raise an IT Service Management tool ticket later to document the emergency change through document Change workflow.	IT Manager Governance	Email
4	Raise an RFC later on IT Service Management tool and complete the change through document Change workflow.	Process Owner	IT Service Management tool

6. Risks and Controls

Risk	Controls	Reference (section number in the procedure)
Inconsistent approaches may be followed resulting in non-conformance of regulations, controls, and ultimately financial loss; due to absence of adequate / updated technology policies, procedures, standards and forms for all technology related processes/areas.	Request for document changes are tracked and is validated by the respective IT Process Owner/ Unit Head. Impact analysis is performed for the document changes and are reviewed and approved.	5.2 ITD Document Review & Approval
	All process documents are reviewed annually.	5.1 ITD Document Change Initiation
	Awareness sessions are conducted periodically for all the document changes.	5.5 ITD Documents Awareness

7. Key Performance Indicators (KPIs)

Sr. No.	Key Performance Indicators	Target	Frequency	Reporting to whom	Source	Formula
1	% of ADIB ITD Process Documents updated & published	>98%	Monthly	ITD Senior Management	Document Management Tool	(No. updated Document / Total No. of outdated Document) X 100
2	Number of awareness sessions for all ADIB ITD Process Documents in year	>18	Yearly	ITD Senior Management	Manual	(No. of Awareness Sessions Conducted / Target No. of Awareness sessions) X 100



8. Appendixes

Annex I: References

Doc. Ref. No.	Name	Type of Document (Policy / Standard)
STD-ITD-001	ITD Document Change Control Standard	Standard