

ADIB – Standard

Regulatory Advisory Management STD-ITD-565

Date: 30th December 2023
Version: 5.0



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الإسلامي

Dept./ Unit: Technology / GRC
Standard: STD-ITD-565 Regulatory Advisory Standard

Issue Date: 30th Dec, 2023
Version: 5.0

Version Control & Change Management

| Version | Issue Date | Details of Change | Reason for change |
|---------|-----------------|--|--|
| 5.0 | December, 2023 | Removed GISD, as only GCD act as a gateway of communication from regulation bodied. | Align with current practices |
| 4.0 | December, 2022 | Added: UAE Information Assurance Regulation Moved responsibility of tracking closure status to " issue owner" | Align with current practices |
| 3.1 | December, 2021 | Document reviewed and no change required. | Process annual review |
| 3.0 | Publishing Date | Added" Any change in the business application as a result of CBUAE notice will be initiated by the business owner" | To align with current practices |
| 2.0 | Publishing date | Replaced IT Security Monitoring team with IT GRM Team | IT Security Monitoring function has been transferred to GISD and ITCA is tracking the Regulatory Advisories. |
| 1.0 | Publishing date | New standard on regulatory advisory / requirement management. | New Document |

| Prepared by | Approved by | Reviewed by |
|-----------------|------------------------|---|
| Governance Team | Head of Technology GRC | IT Governance Manager Manager IT Security Operations |



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1 Overview

To avoid breaches of statutory & regulatory obligations related to information security handled by ADIB ITD.

2 Applicability

All IT infrastructure and application services in ADIB UAE, Qatar, Iraq, Sudan IT environment

3 Standard Owner

Head of Technology GRC

4 Standard Statements

4.1 Identification of applicable regulations

1. Requirements related to applicable regulatory need for bank's information system should be defined, documented, and followed.

Following are some of the key applicable regulatory requirements. However, the below list is not exhaustive:

- Central Bank of UAE
- The National Electronic Security Authority (NESA)/ UAE Information Assurance Regulation
- Abu Dhabi Systems & Information Centre (ADSIC).

4.2 Collection of regulatory requirements

1. Advisories from known regulatory bodies shall be intimated to Technology GRC , through a common email of ADIB Group, viz., cbuae.advisory@adib.com
2. Alternately, intimation may also come through Compliance Department (GCD), who acts as gateway of communication to ADIBs necessary compliances from regulatory bodies.
3. Technology GRC shall track and disseminate the actionable items from the advisory to concern ITD departments as applicable, with an advice on estimated closure date for its implementation.
4. Cyber security related notices shall be handled by GISD. GISD will liaise with TECHNOLOGY GRC to ensure the implementation of requirements in CBUAE notices.
5. Any change in the business application as a result of CBUAE notice will be initiated by the business owner and Technology department will ensure the implementation as per BRD.

4.3 Process regulatory requirements

1. Technology GRC or respective Technology Unit shall further analyze the advisory and track Technology actions until closure. GCD is also tracking all CBUAE notices as well.
2. Respective team within TECHNOLOGY GRC shall perform evaluation of these actionable items.
3. TECHNOLOGY GRC will validate the action items as per the advisory (if readily available within) or formulate the resolution steps by the resolver group after the agreement with them, based on:
 - a. Nature of advisory.
 - b. Action steps determined after evaluation.
4. Respective issue owner will follow the IT Change Management process, based on the nature and criticality of the advisory.
5. Resolver group should implement advised actions.
6. Post implementations, the resolver group shall close the ticket.



7. The respective issue owner shall track the closure status and communicate with TECHNOLOGY GRC team on closure of identified actions.
8. GISD compliance team should advise on the threat indicators (if any) to SIEM Admin for configuring alerts on monitoring dashboard.
9. TECHNOLOGY GRC further would monitor the implementation of the advisory until closure.

4.4 Validation and Closure

1. Technology GRC team would take assistance of Technology Compliance team and GISD on need basis, to validate the implementation and further intimate to GCD / GISD team, depending upon its source.
2. Based on the nature of advisory, or in case traces of advised critical threats found in IT environment, it would be considered for process and control enhancements by Technology Governance team.
3. Technology GRC to report on non-compliances, remedial actions, and implementation timelines to the Business / Technology Platform Owners.

5 Exceptions

Any deviation to the standard shall be documented along-with associated risks and shall be approved

6 Appendixes

Annex I: Acronyms

| Abbreviation | Acronym |
|----------------|--|
| ADIB | Abu Dhabi Islamic Bank |
| ITD | Information Technology Division |
| GISD | Group Information Security Department |
| GCD | Group Compliance Department |
| TECHNOLOGY GRC | Information Technology Governance Risk and Compliance Management |

Annex II: Glossary

| Term | Definition |
|----------------|---|
| Resolver Group | Comprises of SIEM Admin, Technology Operations namely Infrastructure Operations, Security Operations, Technology User Support, and such others, based on the involvement of Technology team member as per the advisory. |

Annex III: References

| Doc. Ref. No. | Name | Type of Document (Policy / Standard) |
|---------------|---------------------------------|--------------------------------------|
| POL-ITD-001 | ITD Policy | Policy |
| STD-ITD-555 | IT Security Assessment Standard | Standard |

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References to Best Practice framework

| Doc section | Name | Best practice |
|-------------|--|----------------|
| 4.1 | Identification of applicable regulations | ISO 27001:2013 |
| 4.2 | Collection of regulatory requirements | Gartner |
| 4.3 | Process regulatory requirements | Gartner |
| 4.4 | Validation and Closure | Gartner |

Annex IV: Records & documents

| Document/Report/View Name |
|--|
| Service Management tool Reports for the Implementation status on change request tickets related to advisories. |
| Regulatory Advisory Tracker: Regulatory Advisory Tracker (to be maintained by Technology GRC) |