四川科道芯国智能技术股份有限公司  
Sichuan Keydom Smart Technology Co., Ltd

标准文件   
 Standard File

安全控制变更管理标准

Security Control Change Mgt. Standard

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# 目的 Purpose

规范安全控制变更管理流程，确保与安全控制相关的任何变更处于受控状态，消除或减少由于变更而引起的潜在安全事故隐患。To specify security control change management procedure, to ensure all the changes related to security control are under control, and to eliminate or reduce security incident dangers caused by uncontrolled changes.

# 适用范围Scope

本程序适用于科道（含生产中心、研发中心）以下方面的内部变更（各子公司可参照本标准自己制定控制流程）：This standard is applicable for internal changes below within Keydom, including Pro. Center and R&D Center.

信息安全管理有关的控制流程变更及软硬件安全配置变更、安防控制变更、产品安全控制、EHS管理有关控制流程及控制设施等永久性或暂时性的变更。Permanent or temporary changes to logical security controls and configuration of software and hardware, security controls, product controls and EHS mgt. control policies and equipment.

# 术语与定义Definition

## 变更管理Change Mgt.

变更管理指对信息安全管理有关控制流程及软硬件配置、安防控制、产品安全控制、EHS管理有关控制流程及控制设施等在原基础上作出的永久性或暂时性的变化，进行有计划的控制，以保证安全控制及安全生产有效地运行，避免或减轻对信息安全管理、安防控制管理、产品安全控制及EHS管理的影响，预防各类事故的发生。It refers to an auditable controls to changes to eliminate or reduce security incident dangers caused by uncontrolled changes and prevent from incidents, ensuring effectiveness of security controls and safety production.

## 变更评估Change Review

申请部门提出安全控制相关的变更申请后，相关部门参与评审，评估变更带来的安全风险和漏洞，提出相关的评估建议，确定安全控制变更的可行性。Applicant dept. should initiate changes application related security control, and submit to related departments to evaluate the security risk and vulnerability, give evaluation advice and confirm the accessibility of security control change.

# 职责Responsibility

## 申请部门Request Department

负责提出安全控制相关的变更申请，填写申请单，并组织相关部门参与变更评估。

Be responsible for applying for changes related to security control, filling out Change Request Form, organizing related departments to take part in changes evaluation.

## 评估部门Evaluation Department

负责变更评估，提出相关的建议和意见，依据本文4.3、4.4、4.5条款确认评估部门。

Be responsible for evaluating changes and giving related advice and opinion. Details about how to confirm evaluation department can be found in Section 4.3, 4.4 and 4.5 of this procedure.

## 安全策略部Security Policy Department

* 负责参与安全相关变更的评审。To take part in change review related to security.
* 负责综合考虑相关部门建议，批准变更。To consider relevant depts.’ Opinions and make approval.
* 变更执行后，负责对变更实施进行核实，验证其安全性和有效性。To verify the security and effectiveness of changes implemented.

## 综合管理部、生产中心工程与设备部Admin Dept. and Equipment Dept. of Pro. Center

综合管理部参与涉及非生产区域供电设施的安全变更评审，生产中心工程与设备部参与涉及生产EHS管理控制流程，及生产设备变更的评审。

Admin dept. should review the appropriateness of safe change of power supply devices in non-pro area. Equipment Dept. of Pro. Center should review the appropriateness of EHS mgt. polies and measure changes and equipment changes of Pro. Center.

## 研发管理部、生产中心开发部R&D Mgt. Dept., R&D Dept. of Pro. Center

研发管理部参与涉及研发中心所有安全控制变更的评审，生产中心开发部负责对可能影响到生产应用处理、数据处理流程相关变更的评审。

R&D Mgt. Dept. should take part in review of security changes of R&D Center. R&D Dept. of Pro. Center is responsible for conducting evaluation related to changes may affect the application handling and data handling process.

## 变更实施部门Change Implementation Dept.

参与变更评估，并负责在变更批准后实施变更。Be responsible for taking part in evaluation and implement of changes after the request was approved.

# 工作流程Working Procedure

## 变更管理的分类Classification of Change Mgt.

### 变更包括：The changes including:

安防控制类变更、信息安全管理类变更、产品安全控制类变更、EHS管理变更、安全相关人员的人事变更、敏感材料和金融卡代理商业务关系变更等。Changes to logical security controls and configuration of software and hardware, security controls, product controls, EHS mgt. control policies and equipment, key security mgt. personnel and business relationship related to sensitive material and banking cards agents.

### 安防控制类变更：Security controls:

* 人员门禁权限组配置的变更；Change of configuration of Access right grouping;
* 安防管理设施（CCTV系统、门禁系统、报警系统）配置及布局变更等。Change of configuration and layout of security devices (CCTV system, badge access system and alarm system).

### 信息安全管理类变更：Logical security controls

* 网络配置（防火墙、交换机策略、拓扑结构）变更；Network Configuration Changes (Firewall configuration, switch policies, topology);
* 域控安全策略变更；Domain polices changes;
* 杀毒软件策略变更、其他网络安全设备配置变更等。Antivirus software policy and other network security configuration changes.

### 产品安全控制类变更：Product controls:

* 产品安全控制流程变更，例如物料交接过程、物料控制流程等。Product security control process changes, such as material transfer process, material control process and so on.

### EHS管理变更：EHS Mgt. Changes

* 消防管理流程及设施配置变更；Changes to fire mgt. process and fire device configuration.
* 职业健康安全防护措施、安全生产控制要求变更等。Changes to occupational safeguard process and safety pro. control requirements.

### 人事变更：Personnel Changes

* 直接影响到卡产品和相关组件、数据安全等关键人员的人事变更。Changes to personnel directly affect card products and components and data security.

### 敏感材料和金融卡产品代理商业务关系的变更：Business relationship related to sensitive material and banking cards agents:

* 例如全息标、签名条等敏感材料，和金融卡销售（主要针对境外）的代理商业务关系变更。Including sensitive materials such as holograms, signature panels etc.

## 安全控制变更流程图Security Control Change Process Chart



## 变更运作流程Operation Process of Changes

1. 任何安全相关的控制流程如要变更时，申请部门务必填写《安全控制变更申请单》，说明变更类型、变更原因、变更描述等。When any control procedure changes related to security is needed, applying department must fill Change Request Form for Security Control including changes type, reason and description.
2. 根据本文件规定的“职责”，申请部门将变更申请提交给相关责任部门评审，责任部门给出相应的评审建议或意见。According to the Responsibility defined in this document, applying department must submit change request to related departments for evaluation, responsible departments give appropriate opinion.
3. 安全策略部负责对职权范围内的安全变更事项和评审意见进行审核，并参照各机构要求和企业情况决定是否批准变更。待安全策略部批准变更申请后（重大安全控制事项的变更需报公司领导批准），变更实施部门负责实施该安全控制变更。Security Policy department is responsible for verifying and approving the changes according to change details and evaluation opinion and referring card organizations’ requirements. Change implement dept. should put the changes into effect basing on the request after Security Policy dept. approved. Important changes should be approved by company’s leaders.
4. 待变更实施完成后，安全策略部负责现场核实其变更情况，验证其变更的安全性和有效性。Security Policy Department is responsible for verifying change details and its security and effectiveness after its implementation.
5. 一般情况下，产品安全控制流程变更，只需安全策略部长确认；信息安全变更需安全策略部、开发部参与评审；安防管理流程及其设备的变更必须得到安防主管和安全策略部长的确认和批准；产品安全管理流程的变更必须得到产品安全主管和安全策略部长的确认和批准；EHS管理变更必须得到EHS主管和安全策略部长的确认和批准。如有必要，部分项目的变更，需要征求公司领导同意后实施。Generally, changes to product security control only need to get approval of minister of Security Policy Dept. Changes about logical security need to be reviewed by Security Policy Dept. and R&D Dept.. Changes about physical security control and related devices need the approval and confirmation of security supervisor and Minister of Security Policy Dept. EHS mgt. changes should be confirmed and approved by security supervisor and Minister of Security Policy Dept. If needed, approval of GM is needed for some changes
6. 直接影响到卡产品、机密数据和相关敏感材料安全的关键人事变更，由人事部按其流程主导变更，但必须提前通知安全策略部，以报安全机构和卡组织备案。涉及密钥管理小组的人事变更，按《密钥管理标准》中的流程执行。HR Dept. is responsible for management of changes to personnel directly affect card products and components and data security. Notification is needed for Security Policy Dept. to notify Card Organization as required. Refer to Key Mgt. Standard to implement personnel changes of Key Team.
7. 当涉及公司安全产品、安全业务的外包商、境外销售代理商业务关系的变更或终止时，由采购部、销售部按其流程主导变更，但必须提前通知安全策略部，以报安全机构和卡组织备案。Above-mentioned procedure is not applicable for the changes or terminations of outsourcers and agent business relationship related to our security product. Purchase Dept.t and Sale Dept. are responsible for it. Notification is needed for Security Policy Dept. to notify Card Organization as required.

## 紧急安全控制变更流程Emergency Security Control Change Process

1. 紧急安全控制变更：此类安全变更要求为突发性事件或非工作日事件，无法按照正常的安全控制变更流程逐一申请，需先完成变更后完善安全控制变更记录。Emergency Security Control Change: it refers to all emergency or non-work-day incidents which cannot be implemented following the normal security control change process, to implement after the procedure is completed.
2. 所有的紧急安全控制变更，必须事先由申请部门部长或其授权人员，取得安全策略部长明确的电话授权，并明确告知执行人后，方可执行。All emergency security control changes must be approved by leaders of Security Policy dept.and related dept. managers remotely.
3. 必须在安全控制变更实施后的1个工作日内，补齐书面的紧急安全控制变更申请手续。Security control change process should be completed within 1 work day after the control change.

# 参考文件Reference

各机构对安全控制变更管理的要求。Be made base on card organization’s requirements to security control changes.

# 记录Record

* 安全控制变更申请单Change Request Form for Security Control