Version History

Ver. No.	Authors	Date	Reviewers	Review Date	Release Date
1.0	CISO	27-Aug-2018	ISMF	31-Aug-2018	03-Sep-2018
2.0	CISO	11-Dec-2019	ISMF	13-Dec-2019	16 -Dec-2019
3.0	CISO	02-Nov-2020	ISMF	06-Nov-2020	10-Nov-2020

Change History

Ver. No.	Section	Date	Change Information	RFC No.
1.0	All	03-Sep-2018	New Release	-
2.0	All	16-Dec-2019	Annual Review	-
3.0	All	10-Nov-2020	Annual Review	-

Table of Contents

Compliance Process

1.0 Objectives

The objective of this document is to define the process for the Compliance Activities.

2.0 Scope

This Process applies to all Compliances applicable for Engagement, Project, Practice / Functions.

3.0 Policy

3.1 Policy Statement
- Ensure adhering all applicable compliances

3.2 Framework to Support or Implement this Policy
- Refer to ISMS Policy Manual

4.0 References to (checklists, forms, guidelines, lists, standards, templates, other processes)

Process Element	Description	ID
Checklists	NA	NA
Forms	Supplier / Vendor List	QMS-L4-FR-ADM-19
	Compliance Documents	Hardcopies / Softcopies
	Intellectual Property Rights	Hardcopies / Softcopies
	Non-Disclosure Agreement	Hardcopies / Softcopies
	Service Level Agreement	Hardcopies / Softcopies
Guidelines	NA	NA
Lists	NA	NA
Standards	NA	NA
Templates	NA	NA

5.0 Entry Criteria

Inputs	Source Processes
Intellectual Property Rights Request	Compliance
Non-disclosure Agreements Request	Supplier / Customer Management
Service Level Agreements Request	Supplier / Customer Management
Compliance Documents Request	Compliance

6.0 Responsibilities

| Role	Responsibilities
Head Compliance / Admin	• Preparation of Intellectual Property Rights Document • Preparation of Non-disclosure Agreements Document • Preparation of Service Level Agreements Document • Preparation of Compliance Document
CEO / MD	• Review and Approval of Intellectual Property Rights Document • Review and Approval of Non-disclosure Agreements Document • Review and Approval of Service Level Agreements Document • Review and Approval of Compliance Document

7.0 Process Description

Overview Diagram

Refer below to specific process for flowchart.
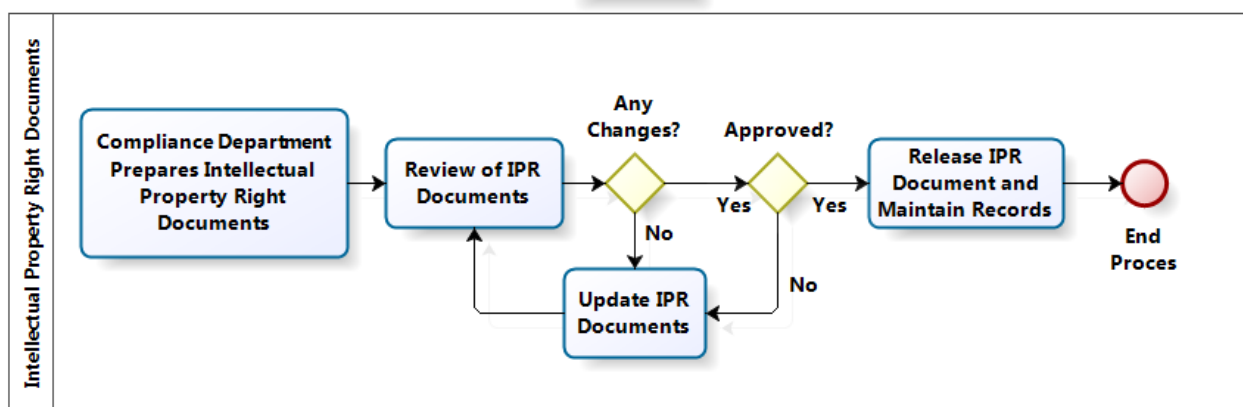
7.1   Compliance Documents
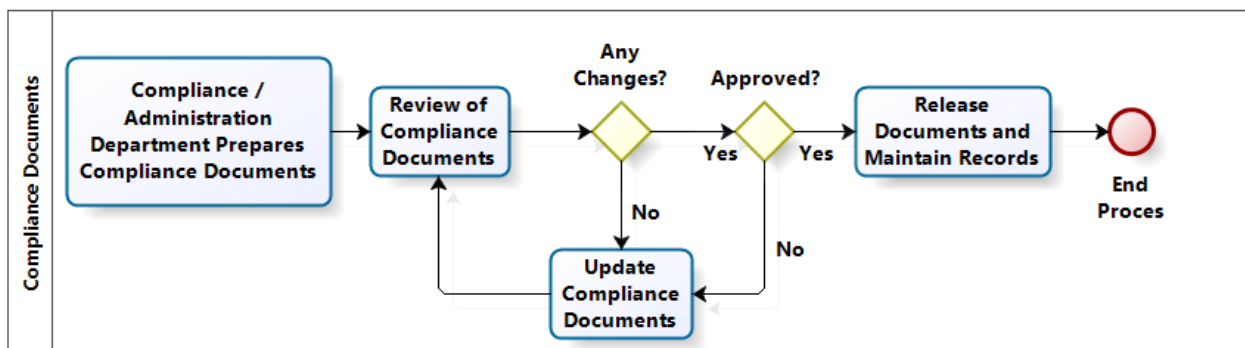
- The ISMS Forum with the help of Compliance / Admin Department shall publish a List of Statutory Compliances relevant to CIPL.
  - ISMS Forum shall conduct awareness training to all employees on:
  - Relevant regulatory compliances
  - Information security policies of CIPL
  - Educate user about Intellectual Property right and motivate them to use only authorized and licensed product.
- The ISMS Forum shall prepare a Statutory Compliance Action Plan with the help of Legal / Admin Department
  - Prepare asset register
  - Identify all assets with copyright requirements
  - Maintain proof or evidence for the ownership of asset
  - Ensure Maximum user license shall be enforced at all levels
  - Surprise checking is conducted for ensuring copyright violation
  - Incidences of copyright violation shall be reported as per Incident management procedure
- ISMS Forum shall devise appropriate procedures for compliance with legal restrictions on the use of material in respect of intellectual property rights such as copyright, design rights, trade marks.

- Audit Committee shall conduct periodic audit (after every 6 months) to ensure compliance with the statutory requirements as per the Internal Audit Policy and External Audit Policy.
- The software shall be purchased from known and reputed agencies only, which shall ensure supplied goods will not violate copyright laws.
- List of Statutory Compliances as applicable

| Sr. No.	Name of Legislation	Department Applicable	Person Responsible	Statutory Compliance	Data Owner	Data Custodian
1	ESI	HR Department	HR Head	Monthly/half yearly	CEO/M.D.	HR Head
2	Provident Fund	HR Department	HR Head	Monthly/ yearly	CEO/M.D.	HR Head
3	Gratuity	HR Department	HR Head	Monthly/ yearly	CEO/M.D.	HR Head
4	Maternity Benefit	HR Department	HR Head	Yearly	CEO/M.D.	HR Head
5	Professional Tax	Accounts Department	Accounts Head	Monthly	CEO/M.D.	Accounts Head
6	Income Tax (Employees & Companies	Accounts Department	Accounts Head	Monthly/quart erly yearly	CEO/M.D.	Accounts Head
7	Service Tax and CESS	Accounts Department	Accounts Head	Monthly/ yearly	CEO/M.D.	Accounts Head
8	Companies Act	Accounts Department	Company Secretary	Yearly	CEO/M.D.	Company Secretary
9	Workman Compensatio n Act	HR Department	HR Head	Case to Case basis	CEO/M.D.	HR Head
10	Shops & establishmen t Act	HR Department	HR Head	Yearly	CEO/M.D.	HR Head

7.2 *Intellectual Property Rights*

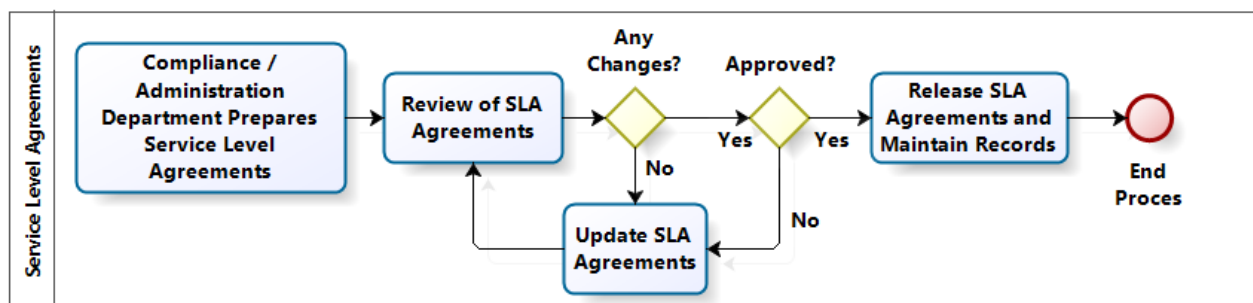- Head Compliance receives Intellectual Property Rights Request

- Head Compliance reviews details of the request
- Head Compliance prepares the relevant documents
- CEO reviews and approves the relevant documents
- Head Compliance submits these documents to the concerned authorities
- Head Compliance follows up with concerned authorities for fulfillment

7.3   Non-Disclosure Agreement
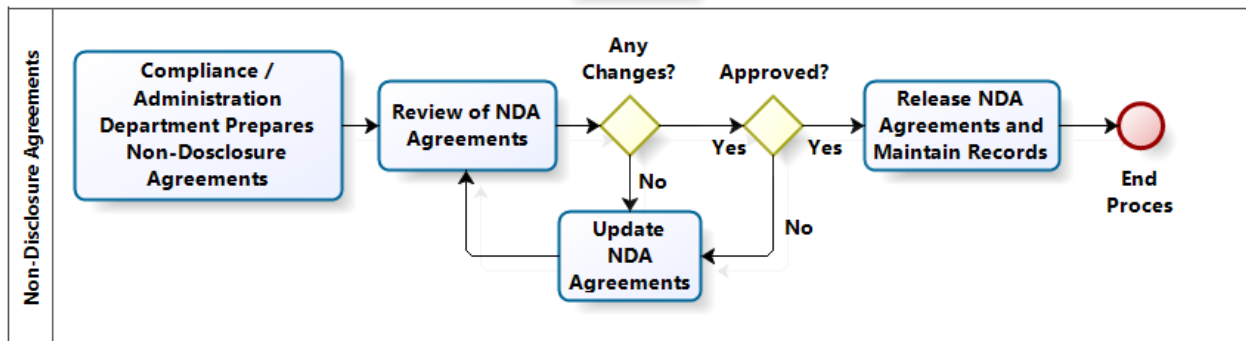
- Head Compliance / Admin receives Non-Disclosure Request
- Head Compliance / Admin reviews details of the request
- Head Compliance / Admin prepares the relevant documents
- CEO reviews and approves the relevant documents
- Head Compliance / Admin submits these documents to the concerned authorities
- Head Compliance / Admin follows up with concerned authorities for fulfillment

7.4   Service Level Agreement

- Head Compliance / Admin receives Service Level Agreement Request
- Head Compliance / Admin reviews details of the request
- Head Compliance / Admin prepares the relevant documents
- CEO reviews and approves the relevant documents
- Head Compliance / Admin submits these documents to the concerned authorities
- Head Compliance / Admin follows up with concerned authorities for fulfillment

8.0 Quality Mechanisms

- Review of Compliance Documents
- Review Follow-up on open action items

- Review Intellectual Property Rights Documents
- Review of Non-Disclosure Agreements
- Review of Service Level Agreements

9.0 Quality / Security Objectives

Sr. No	Objectives	Responsibility	Frequency of Measurement	Reporting of Measurement	Target to Achieve
1	Maintenance of Compliance Documents	Head Compliance / Administration	Monthly	Preparation / Review of Compliance Documents	All Documents to be completed
2	Preparation / Review of Non-Disclosure Agreements	Head Compliance / Administration	Monthly	Preparation / Review of NDA Documents	100%
3	Preparation / Review of Service Level Agreements	Head Compliance / Administration	Monthly	Preparation / Review of SLA Documents	100%
4	Preparation / Review of Intellectual Property Right Documents	Head Compliance / Administration	Monthly	Preparation / Review of Intellectual Property Rights Documents	100%

10.0   Identified Risk

- All risks identified for the process will be recorded into the Risk Management Plan (RMP)
- Risks will be reviewed and monitored as per the agreed schedule

11.0   Exit Criteria

Outputs
Compliance Documents
Intellectual Property Right Documents
Non-Disclosure Agreements
Service Level Agreements