

Information Security Management System MS ISO/IEC 27001:2007

CORRECTIVE AND PREVENTIVE ACTION PROCEDURE

PROSEDUR TINDAKAN PEMBETULAN DAN PENCEGAHAN



UniMAP


UNIVERSITI MALAYSIA PERLIS

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For Dept Use Only


Date: 11thOctober 2012

Version 1.0

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Revision History

| No | Date of Change | Description | Page | Version | Approved By |
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1.0 PURPOSE

1.0 TUJUAN

The purpose of this procedure is to define a system to ensure that:

Tujuan prosedur ini ialah untuk menjelaskan sistem bagi memastikan bahawa:

- (i) Root cause of non-conformity is promptly analyzed and effective Corrective Action is taken to prevent its recurrence.
(i) Punca ketakakuran dianalisa dengan segera dan tindakan pembetulan yang berkesan diambil bagi mengelakkannya daripada berulang.
- (ii) Root cause of potential non-conformity is promptly analyzed and effective Preventive Action is taken to prevent its occurrence and also for continual improvement activities
(ii) Punca ketakakuran berpotensi segera dianalisa dan tindakan pencegahan yang berkesan diambil bagi mencegahnya dari berlaku dan juga untuk aktiviti-aktiviti penambahbaikan berterusan.

2.0 SCOPE

2.0 SKOP


This procedure applies to all aspects of the University Malaysia Perlis Information and Communication Technology Centre, security incidents and any activities that could be identify as potential information security non-conformances.

Prosedur ini digunapakai untuk semua aspek, insiden keselamatan dan sebarang aktiviti yang boleh dikenal pasti berpotensi sebagai ketakakuran keselamatan maklumat kepada Pusat Teknologi Maklumat dan Komunikasi, Universiti Malaysia Perlis.


3.0 DEFINITION

3.0 DEFINISI

- ISMR ▶ Information Security Management Representative
- ISMR ▶ *Wakil Pengurusan Keselamatan Maklumat*

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- BU Head ▶ Business Unit Head
BU Head ▶ *Ketua Unit Perniagaan*
- BU Rep ▶ Business Unit Representative
BU Rep ▶ *Wakil Unit Perniagaan*
- IA ▶ Internal Auditor
IA ▶ *Juruaudit Dalam*
- NC ▶ Non-Conformity
NC ▶ *Ketakakuran*
- NCR ▶ Non-Conformance Report
NCR ▶ *Laporan Ketakakuran*
- CA ▶ Corrective Action: Actions taken to prevent recurrence of existing NC
CA ▶ *Tindakan Pembetulan: Tindakan-tindakan yang diambil bagi mencegah ketakakuran sedia ada daripada berulang.*
- PA ▶ Preventive Action: Actions taken to prevent occurrence of potential NC
PA ▶ *Tindakan Pencegahan: Tindakan-tindakan yang diambil bagi mencegah kejadian yang berpotensi sebagai ketakakuran*
- CAR ▶ Corrective Action Request
CAR ▶ *Permintaan Tindakan Pembetulan*
- PAR ▶ Preventive Action Request
PAR ▶ *Permintaan Tindakan Pencegahan*

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4.0 PROCEDURE DETAILS

4.0 BUTIR-BUTIR PROSEDUR


| Description <i>Penerangan</i> | Documents / Ref. <i>Dokumen/Rujukan</i> | Personnel <i>Kakitangan</i> |
|---|---|--|
| <ul style="list-style-type: none"> ➤ NC or Potential NC as identified to have occurred in not meeting security objective and security incidents shall be required to raise CAR / PAR. ➤ Potential NC could be identified through analysis of factual data, e.g. security incident analysis, audit report, continual improvement plan discussed in management review as well as yearly ISMS committee meeting, etc. ➤ <i>Ketakakuran atau berpotensi sebagai ketakakuran yang telah dikenalpasti berlaku dalam tidak memenuhi objektif keselamatan, dan insiden-insiden keselamatan dikehendaki untuk menghasilkan CAR / PAR.</i> ➤ <i>Ketakakuran berpotensi boleh dikenalpasti melalui analisis data fakta, misalnya analisis kejadian keselamatan, laporan audit, rancangan penambahbaikan berterusan yang dibincangkan dalam kajian semula pengurusan serta mesyuarat jawatankuasa ISMS tahunan dan lain-lain.</i> | <p>- CAR / PAR</p> <p>- <i>Permintaan Tindakan Pembetulan/ Permintaan Tindakan Pencegahan</i></p> | <p>- BU Reps - BU Heads</p> <p>- <i>Wakil-wakil Unit Perniagaan</i> - <i>Ketua-ketua Unit Perniagaan</i></p> |

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| <ul style="list-style-type: none"> ➤ Respective authority to assign appropriate personnel to investigate for the root cause of NC by: <ul style="list-style-type: none"> • Interviewing relevant personnel • Assess relevant records • Review the cause(s) • Other cause analysis tools ➤ <i>Setiap pihak berkuasa akan menentukan kakitangan yang sesuai untuk menyasat punca ketakakuran dengan:</i> <ul style="list-style-type: none"> • <i>Menemubual kakitangan berkaitan</i> • <i>Menilai laporan-laporan berkaitan</i> • <i>Menyemak semula punca-punca</i> • <i>Peralatan analisis punca lain</i> | | <ul style="list-style-type: none"> - BU Head - BU Reps - <i>Ketua Unit Perniagaan</i> - <i>Wakil-wakil Unit Perniagaan</i> |

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| <ul style="list-style-type: none"> ➤ Based on result, personnel in-charge shall evaluate the need for CA / PA / both, and propose appropriate action plan to address the NC or potential NC. ➤ BU Heads shall review & approve, and BU Reps to notify ISMR prior to implementing the action plan. ➤ <i>Berdasarkan keputusan, kakitangan bertugas yang dipertanggungjawabkan akan menilai perlunya Tindakan pembedulan/ Tindakan pencegahan / kedua-duanya, dan mencadangkan rancangan tindakan yang sesuai untuk menangani ketakakuran atau ketakakuran berpotensi.</i> ➤ <i>Ketua-ketua unit perniagaan akan mengkaji semula & meluluskan, dan wakil-wakil unit perniagaan perlu memaklumkan ISMR sebelum melaksanakan pelan tindakan.</i> | <p>- CA / PA recorded into CAR / PAR form</p> <p><i>- Tindakan Pembedulan/ Tindakan Pencegahan direkodkan kedalam borang Permintaan Tindakan Pembedulan/ Permintaan Tindakan Pencegahan</i></p> | <p>- Personnel in-charge</p> <p>- BU Heads - BU Reps</p> <p><i>- Kakitangan bertugas yang dipertanggungjawabkan</i></p> <p><i>- Ketua-ketua Unit Perniagaan - Wakil-wakil Unit Perniagaan</i></p> |

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| <ul style="list-style-type: none"> ➤ After the stated time frame, the CAR / PAR shall be returned for verification of effectiveness. ➤ Effective CA / PA are approved by ISMR for closing the CAR / PAR. ➤ Otherwise, action plan may be extended or investigation will be re-conducted & a new CAR / PAR will be issued. ➤ <i>Selepas jangkamasa yang ditetapkan, Permintaan Tindakan Pembetulan / Permintaan Tindakan Pencegahan akan dipulangkan untuk pengesahan keberkesanan.</i> ➤ <i>Tindakan Pembetulan / Tindakan Pencegahan yang berkesan, diluluskan oleh ISMR untuk menutup Permintaan Tindakan Pembetulan / Permintaan Tindakan Pencegahan.</i> ➤ <i>Sebaliknya, pelan tindakan boleh dilanjutkan atau siasatan akan dijalankan semula & Permintaan Tindakan Pembetulan / Permintaan Tindakan Pencegahan baru akan dikeluarkan.</i> | <ul style="list-style-type: none"> - Verified CAR / PAR - <i>Pengesahan Permintaan Tindakan Pembetulan / Permintaan Tindakan Pencegahan</i> | <ul style="list-style-type: none"> - ISMR - <i>Wakil Pengurusan Keselamatan Maklumat</i> |

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| <ul style="list-style-type: none"> ➤ Closed CAR / PAR should be kept, which will be presented & discussed in Management Review and in the ISMS committee meeting for Continual Improvement Program. ➤ <i>Permintaan Tindakan Pembetulan / Permintaan Tindakan Pencegahan yang telah ditutup, harus disimpan, dan akan dibentangkan & dibincangkan dalam Semakan Semula Pengurusan dan dalam mesyuarat jawatankuasa ISMS untuk Rancangan Penambahbaikan Berterusan.</i> | | <ul style="list-style-type: none"> - ISMR & - ISMS Committee Head - <i>Wakil Pengurusan Keselamatan Maklumat</i> - <i>Ketua Jawatankuasa ISMS</i> |

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5.0 PROCESS FLOW
5.0 ALIRAN PROSES

