1. **Scope**

To define a process for identifying interested parties relative to the information security management system, including any legislation, regulation and other requirements relevant to the implementation of an ISMS and ensuring compliance to same is maintained.

1. **Responsibilities**

The Director (CISO) is responsible for identifying interested parties and their requirements in relation to the ISMS.

The Compliance Manager is responsible for confirming that any legislation, regulation and other requirements are met.

The Chief Information Security Officer (CISO (DIRECTOR)) is responsible for maintaining the appropriate registers of legislation, regulation and other requirements, keeping them up to date and coordinating the compliance checks.

Manager are responsible for ensuring compliance with legislation, regulation and other requirements.

All Employees/Staff are responsible for assisting Retirement Capital to ensure and maintain compliance.

1. **Procedure**
   1. A list of interested parties relevant to the ISMS is maintained by the Director (CISO)
   2. A list of applicable laws and regulations relevant to the implementation of the ISMS is maintained by the Director (CISO).
   3. This list is published by e-mail to management team members.
   4. This list is updated as appropriate upon any change in legislation or regulation that so warrants it. In addition, this list shall also contain details of any other requirement to which Retirement Capital is subject to, either voluntarily or by other subjective means.
   5. To assist in this process the company may subscribe to an appropriate updating service.
   6. When the list is updated, the Director (CISO) announces this to all relevant management team members.
   7. Management team members review the list of applicable laws and regulations and communicate relevant aspects to their Employees/Staff. Where necessary, senior Employees/Staff should ensure that documented procedures are amended as appropriate.
   8. Any action resulting from a review is noted in the meeting minutes, together with any appropriate responsibility and target date for completion.
   9. Compliance with obligations is confirmed as a function of internal audits ([MSS DOC 9.2](../Section%209%20-%20performance%20evaluation/MSS_DOC_9.2.docx)) and monitoring processes, including consideration in the management review ([MSS DOC 9.3](../Section%209%20-%20performance%20evaluation/MSS_DOC_9.3.docx)). This is accomplished by detailing the impact of the legislation on Retirement Capital’s activities and defining what evidence of compliance is required. An audit of such compliance shall then be undertaken to ensure that the appropriate compliance is available. This compliance check is recorded in any suitable manner such as a simple tabular format – [MSS REC 4.2](MSS_REC_4.2.xlsx) may be used to record this information.
      1. For compliance that, by its nature, results in an absence of evidence (such as legislated requirements to *not* perform specific actions), Retirement Capital will provide analysis of the impact of this legislation on business processes, objectives and other relevant functions in MSS REC 4.2.
   10. This check shall also extend to other requirements to which Retirement Capital subscribes such as trade associations.
   11. Records of this check and any subsequent change or action are retained for at least three years by the Director (CISO).

***Document Owner and Approval***

The Director (CISO) is the owner of this document and is responsible for ensuring that this procedure is reviewed in line with the review requirements of theISMS.

The current version of this document is available to all members of staff on the corporate intranet.

This document is approved by the Chief Information Security Officer on the issue date shown and is issued on a version-controlled basis under his/her signature.

Signature: Date: 14/11/2020

**Change History Record**

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| Issue | Description of Change | Approval | Date of Issue |
| 1 | Initial issue | Gavin McCloskey | 14/11/2020 |
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