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Requirements for bodies providing audit and certification of information security management systems - Part 1: General (ISO/IEC 27006-1:2024)

Anforderungen an Stellen, die Informationssicherheitsmanagementsysteme auditieren und zertifizieren - Teil 1: Allgemeines (ISO/IEC 27006-1:2024)

Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management de la sécurité de l'information - Partie 1: Généralités (ISO/IEC 27006-1:2024)

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35.030	Informacijska varnost	IT Security

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Information security, cybersecurity and privacy protection
- Requirements for bodies providing audit and certification
of information security management systems - Part 1:
General (ISO/IEC 27006-1:2024)

Sécurité de l'information, cybersécurité et protection
de la vie privée - Exigences pour les organismes
procédant à l'audit et à la certification des systèmes de
management de la sécurité de l'information - Partie 1:
Généralités (ISO/IEC 27006-1:2024)

Cybersicherheit und Datenschutz - Anforderungen an
Stellen, die
Informationssicherheitsmanagementsysteme
auditieren und zertifizieren - Teil 1: Allgemeines
(ISO/IEC 27006-1:2024)

This European Standard was approved by CEN on 29 January 2024.

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CEN-CENELEC Management Centre:
Rue de la Science 23, B-1040 Brussels

Contents	Page
European foreword.....	3

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European foreword

This document (EN ISO/IEC 27006-1:2024) has been prepared by Technical Committee ISO/IEC JTC 1 "Information technology" in collaboration with Technical Committee CEN-CENELEC/ JTC 13 "Cybersecurity and Data Protection" the secretariat of which is held by DIN.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by September 2024, and conflicting national standards shall be withdrawn at the latest by September 2024.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CEN-CENELEC shall not be held responsible for identifying any or all such patent rights.

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According to the CEN-CENELEC Internal Regulations, the national standards organizations of the following countries are bound to implement this European Standard: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Republic of North Macedonia, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Türkiye and the United Kingdom.

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**International
Standard**

ISO/IEC 27006-1

**Information security, cybersecurity
and privacy protection —
Requirements for bodies
providing audit and certification of
information security management
systems —**

**Part 1:
General**

*Sécurité de l'information, cybersécurité et protection de la vie
privée — Exigences pour les organismes procédant à l'audit et
à la certification des systèmes de management de la sécurité de
l'information —*

Partie 1: Généralités

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ISO/IEC 27006-1:2024(en)

Contents

	Page
Foreword	v
Introduction	vi
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Principles	4
5 General requirements	5
5.1 Legal and contractual matters.....	5
5.2 Management of impartiality.....	5
5.2.1 General.....	5
5.2.2 Conflicts of interest.....	5
5.3 Liability and financing.....	5
6 Structural requirements	5
7 Resource requirements	5
7.1 Competence of personnel.....	5
7.1.1 General.....	5
7.1.2 Generic competence requirements.....	5
7.1.3 Determination of competence criteria.....	6
7.2 Personnel involved in the certification activities.....	8
7.2.1 General.....	8
7.2.2 Demonstration of auditor knowledge and experience.....	8
7.3 Use of individual external auditors and external technical experts.....	9
7.4 Personnel records.....	9
7.5 Outsourcing.....	9
8 Information requirements	9
8.1 Public information.....	9
8.2 Certification documents.....	9
8.2.1 General.....	9
8.2.2 ISMS Certification documents.....	10
8.2.3 Reference of other standards in the ISMS certification documents.....	10
8.3 Reference to certification and use of marks.....	10
8.4 Confidentiality.....	10
8.4.1 General.....	10
8.4.2 Access to organizational records.....	10
8.5 Information exchange between a certification body and its clients.....	10
9 Process requirements	11
9.1 Pre-certification activities.....	11
9.1.1 Application.....	11
9.1.2 Application review.....	11
9.1.3 Audit programme.....	11
9.1.4 Determining audit time.....	12
9.1.5 Multi-site sampling.....	13
9.1.6 Multiple management systems.....	14
9.2 Planning audits.....	14
9.2.1 Determining audit objectives, scope and criteria.....	14
9.2.2 Audit team selection and assignments.....	14
9.2.3 Audit plan.....	15
9.3 Initial certification.....	15
9.3.1 General.....	15
9.3.2 Initial certification audit.....	15
9.4 Conducting audits.....	16

ISO/IEC 27006-1:2024(en)

9.4.1	General	16
9.4.2	Specific elements of the ISMS audit	16
9.4.3	Audit report	16
9.5	Certification decision	17
9.5.1	General	17
9.5.2	Certification decision	17
9.6	Maintaining certification	17
9.6.1	General	17
9.6.2	Surveillance activities	17
9.6.3	Re-certification	18
9.6.4	Special audits	18
9.6.5	Suspending, withdrawing or reducing the scope of certification	18
9.7	Appeals	19
9.8	Complaints	19
9.8.1	General	19
9.8.2	Complaints	19
9.9	Client records	19
10	Management system requirements for certification bodies	19
10.1	Options	19
10.1.1	General	19
10.1.2	ISMS implementation	19
10.2	Option A: General management system requirements	19
10.3	Option B: Management system requirements in accordance with ISO 9001	19
Annex A (normative) Knowledge and skills for ISMS auditing and certification		20
Annex B (informative) Further competence considerations		21
Annex C (normative) Audit time		23
Annex D (informative) Methods for audit time calculations		29
Annex E (informative) Guidance for review of implemented ISO/IEC 27001:2022, Annex A controls		33
Bibliography		47

SIST EN ISO/IEC 27006-1:2024

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives or www.iec.ch/members_experts/refdocs).

ISO and IEC draw attention to the possibility that the implementation of this document may involve the use of (a) patent(s). ISO and IEC take no position concerning the evidence, validity or applicability of any claimed patent rights in respect thereof. As of the date of publication of this document, ISO and IEC had not received notice of (a) patent(s) which may be required to implement this document. However, implementers are cautioned that this may not represent the latest information, which may be obtained from the patent database available at www.iso.org/patents and <https://patents.iec.ch>. ISO and IEC shall not be held responsible for identifying any or all such patent rights.

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For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html. In the IEC, see www.iec.ch/understanding-standards.

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 27, *Information security, cybersecurity and privacy protection*, in collaboration with the European Committee for Standardization (CEN) Technical Committee CEN/CLC/JTC 13 *Cybersecurity and data protection*, in accordance with the Agreement on technical cooperation between ISO and CEN (Vienna Agreement).

This first edition of ISO/IEC 27006-1 cancels and replaces ISO/IEC 27006:2015, which has been technically revised. It also incorporates the Amendment ISO/IEC 27006:2015/Amd 1:2020.

The main changes are as follows:

- this document has been converted into the first part of a multi-part series;
- the entire document has been updated for remote audits and organizations with few or no physical relevant sites;
- the concept of persons performing certain identical activities has been introduced in [C.3.4](#) and several updates were provided;
- this document (in particular, [Annex E](#)) has been aligned with ISO/IEC 27001:2022 and ISO/IEC 27002:2022;
- redundancies with ISO/IEC 17021-1 have been removed;
- wording has been clarified and more closely aligned with ISO/IEC 17021-1.

A list of all parts in the ISO/IEC 27006 series can be found on the ISO and IEC websites.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html and www.iec.ch/national-committees.

ISO/IEC 27006-1:2024(en)

Introduction

ISO/IEC 17021-1 sets out requirements and guidance for bodies providing audit and certification of management systems. If such bodies intend to be compliant with ISO/IEC 17021-1 with the objective of auditing and certifying information security management systems (ISMS) in accordance with ISO/IEC 27001, some additional requirements and guidance to ISO/IEC 17021-1 are critical. These are provided by this document.

This document specifies requirements for bodies providing audit and certification of an ISMS. It gives generic requirements for such bodies which are referred to as certification bodies. Observance of these requirements is intended to ensure that certification bodies operate ISMS certification in a competent, consistent and impartial manner, thereby facilitating the recognition of such bodies and the acceptance of their certifications on a national and international basis.

The text in this document follows the structure of ISO/IEC 17021-1:2015.

In this document, the following verbal forms are used:

- “shall” indicates a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission;
- “can” indicates a possibility or a capability.

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Information security, cybersecurity and privacy protection — Requirements for bodies providing audit and certification of information security management systems —

Part 1: General

1 Scope

This document specifies requirements and provides guidance for bodies providing audit and certification of an information security management system (ISMS), in addition to the requirements contained within ISO/IEC 17021-1.

The requirements contained in this document are demonstrated in terms of competence and reliability by bodies providing ISMS certification. The guidance contained in this document provides additional interpretation of these requirements for bodies providing ISMS certification.

NOTE This document can be used as a criteria document for accreditation, peer assessment or other audit processes.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO/IEC 27001:2022, *Information security, cybersecurity and privacy protection — Information security management systems — Requirements*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17021-1 and the following apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <https://www.electropedia.org/>

3.1 certification document

document indicating that a client's information security management system (ISMS) conforms to specified ISMS standards and any supplementary documentation required under the management system

Note 1 to entry: This definition does not limit the number of documents collectively known as certification documents.

ISO/IEC 27006-1:2024(en)

3.2

control

measure that maintains and/or modifies *risk* (3.10)

Note 1 to entry: Controls include, but are not limited to, any process, policy, device, practice or other conditions and/or actions which maintain and/or modify *risk* (3.10).

Note 2 to entry: Controls may not always exert the intended or assumed modifying effect.

[SOURCE: ISO/IEC 27002:2022, 3.1.8]

3.3

external context

external environment in which the *organization* (3.9) seeks to achieve its objectives

Note 1 to entry: External context can include the following:

- the cultural, social, political, legal, regulatory, financial, technological, economic, natural and competitive environment, whether international, national, regional or local;
- key drivers and trends having impact on the objectives of the *organization* (3.9);
- relationships with, and perceptions and values of, external stakeholders.

[SOURCE: ISO/IEC 27000:2018, 3.2.2]

3.4

information security

preservation of confidentiality, integrity and availability of information

Note 1 to entry: In addition, other properties, such as authenticity, accountability, non-repudiation, and reliability can also be involved.

[SOURCE: ISO/IEC 27000:2018, 3.2.8]

3.5

information security incident

single or a series of unwanted or unexpected information security events that have a significant probability of compromising business operations and threatening *information security* (3.4)

[SOURCE: ISO/IEC 27000:2018, 3.3.1]

3.6

information system

set of applications, services, information technology assets, or other information-handling components

[SOURCE: ISO/IEC 27000:2018, 3.3.5]

3.7

internal context

internal environment in which the *organization* (3.9) seeks to achieve its objectives

Note 1 to entry: Internal context can include:

- governance, organizational structure, roles and accountabilities;
- policies, objectives, and the strategies that are in place to achieve them;
- the capabilities, understood in terms of resources and knowledge (e.g. capital, time, people, processes, systems and technologies);
- *information systems* (3.6), information flows and decision-making processes (both formal and informal);
- relationships with, and perceptions and values of, internal stakeholders;
- the *organization's* (3.9) culture;