



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

**First edition
2024-03**

This document is a preview generated by AI



COPYRIGHT PROTECTED DOCUMENT

© ISO/IEC 2024

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

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

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

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.

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

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.

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.

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.