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Information technology — Security techniques — Guidelines for information security management systems auditing

Technologies de l'information — Techniques de sécurité — Lignes directrices pour l'audit des systèmes de management de la sécurité de l'information

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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. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

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 ISO documents 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).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

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

For an explanation on 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 the following URL: www.iso.org/iso/foreword.html.

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 27, *IT Security techniques*.

This second edition cancels and replaces the first edition (ISO/IEC 27007:2011), which has been technically revised.

The main changes compared to the previous edition are as follows:

— Annex A has been completely reworked to align to ISO/IEC 27001:2013;

— the main part of this document has been aligned with ISO/IEC 27001:2013.

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Introduction

This document provides guidance on:

a) the management of an information security management system (ISMS) audit programme;

b) the conduct of internal and external ISMS audits in accordance with ISO/IEC 27001;

c) the competence and evaluation of ISMS auditors.

This document should be used in conjunction with the guidance contained in ISO 19011:2011.

This document follows the structure of ISO 19011:2011. Additional ISMS-specific guidance on the application of ISO 19011:2011 for ISMS audits is identified by the letters "IS".

ISO 19011:2011 provides guidance on the management of audit programmes, the conduct of internal or external audits of management systems, as well as on the competence and evaluation of management system auditors.

NOTE For accredited certification, auditor requirements are given in ISO/IEC 27006.

This document does not state requirements and is intended for all users, including small and medium-sized organizations.

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Information technology — Security techniques — Guidelines for information security management systems auditing

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1 Scope

This document provides guidance on managing an information security management system (ISMS) audit programme, on conducting audits, and on the competence of ISMS auditors, in addition to the guidance contained in ISO 19011:2011.

This document is applicable to those needing to understand or conduct internal or external audits of an ISMS or to manage an ISMS audit programme.

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 19011:2011, *Guidelines for auditing management systems*

ISO/IEC 27000:2016, *Information technology — Security techniques — Information security management systems — Overview and vocabulary*

ISO/IEC 27001:2013, *Information technology — Security techniques — Information security management systems — Requirements*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 19011:2011 and ISO/IEC 27000 apply.

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

— ISO Online browsing platform: available at http://www.iso.org/obp

— IEC Electropedia: available at http://www.electropedia.org/

4 Principles of auditing

The principles of auditing of ISO 19011:2011, Clause 4 apply.

5 Managing an audit programme

5.1 General

The guidelines of ISO 19011:2011, 5.1 apply. In addition, the following guidance applies.

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