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| --- | --- |
| **DETAILS OF ORGANISATION** | |
| **NAME OF CERTIFICATION BODY** |  |
| **CB ACCREDITATION NO.** *(for MAURITAS accredited CB only)* |  |
| **ADDRESS** |  |
| **NAME OF CONTACT PERSON** |  |
| **DATE OF SUBMISSION** |  |
| **This report covers: Self-Assessment by CB**  **Assessment by MAURITAS** | |
| **Type of Assessment:**  **Initial Assessment**  **Assessment**  **(state number)…….. Extension**  **Re-assessment**  **Others (specify)………………………………………** | |
| **Name of Assessor** |  |
| **Date(s) of Review** |  |
| **Date(s) of Office Assessment** |  |
| ***NOTES FOR CB:***     1. *The CB shall fill in section 4 when applying for accreditation and/or prior to an initial assessment, re-assessment and extension of scopes.* 2. *The CB shall provide details where the requirements have been addressed in its Quality Documentation (reference to the title of the document, the relevant page number/clause number).* | |
| ***NOTES FOR ASSESSORS:***   1. *C = Compliance NC = Non-Compliance NA = Not Applicable* 2. *Usethe space in relevant section to record all the documents/evidence checked* | |
| ***The requirements for ISO/IEC 17021-1:2015 are documented in black in section 4***  ***The additional requirements as per ISO/IEC 27006-1:2024 have been added in blue in section 4*** | |

**1. IAF MD DOCUMENTS**

|  |  |  |  |
| --- | --- | --- | --- |
| **IAF MD DOCUMENT** | **CLAUSE NUMBER** | **C/NC/NA** | **COMMENTS** |
|  |  |  |  |
|  |  |  |  |

**2. MAURITAS REGULATIONS**

|  |  |  |  |
| --- | --- | --- | --- |
| **MAURITAS REGULATIONS** | **CLAUSE NUMBER** | **C/NC/NA** | **COMMENTS** |
| ***MAURITAS R4*** |  |  |  |
|  |  |  |  |

**3. CB IS MAKING USE OF COMBINED MARK/MAURITAS SYMBOL PROPERLY**

***YES NO***

***List the certificates verified***

**4. TECHNICAL REQUIREMENTS**

|  |  |
| --- | --- |
| **ISO/IEC 17021-1:2015**  **Clause 5 General requirements**  **5.2 Management of Impartiality** | |
| **ISO/IEC 27006-1:2024**  **Clause 5.2.2 Conflict of interest** | |
| *Certification bodies may add value during certification and surveillance audits (e.g. by identifying opportunities for improvement, as they become evident during the audit, without recommending specific solutions) without it being considered as consultancy or having a potential conflict of interest.*  *Does the certification body provide internal information security reviews of the client’s ISMS subject to certification?*  *Is the certification body independent from the body or bodies (including any individuals) which provide the internal ISMS audit?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 7 Resource requirements**  **7.1** **Competence of personnel** | |
| **7.1.1 General considerations** | |
| *Does the certification body have processes to ensure that personnel have appropriate knowledge and skills relevant to the information security management systems and geographic areas in which it operates?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by the Assessor)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **7.1.2 Determination of competence criteria** | |
| *Does the certification body have a process for determining the competence criteria for personnel involved in the management and performance of audits and certification activities?*  *Are competence criteria determined with regard to the requirements of the certification standard for each technical area, and for each function in the certification process?*  *Is the output of the process the documented criteria of required knowledge and skills necessary to effectively perform audit and certification tasks to be fulfilled to achieve the intended results? Annex A specifies the knowledge and skills that a certification body shall define for specific functions.*  *NOTE The term “technical areas” is applied differently on the management system standard being considered. For any management system, the term is related to products, processes and services in the context of the scope of the management system standard. The technical area can be defined by a specific certification scheme (e.g. ISO/TS 22003) or can be determined by the certification body. It is used to cover a number of other terms such as “scopes”, “categories”, “sectors”, etc., which are traditionally used in different management system disciplines.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.2 Generic competence requirements** | |
| *Does the certification body define the competence requirements for each certification function as referenced in Table A.1 of ISO/IEC 17021-1:2015?*  *Does the certification body take into account all the requirements specified in ISO/IEC 17021-1 and 7.1.3 and 7.2.2 of this International Standard that are relevant for the ISMS technical areas as determined by the certification body? Annex B provides further guides on competence.*  *Does the certification body define the knowledge and skills that are required for certain functions in accordance with Annex A?*  *Does the certification body apply additional specific criteria including competence requirements that have been established in a specific standard, (e.g. ISO/IEC 27006-2)?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 7.1.3 Evaluation processes** | |
| *Does the certification body have documented processes for the initial competence evaluation, and on-going monitoring of competence and performance of all personnel involved in the management and performance of audits and other certification activities, applying the determined competence criteria?*  *Does the certification body able to demonstrate that its evaluation methods are effective?*  *Do the output from these processes identify personnel who have demonstrated the level of competence required for the different functions of the audit and certification process?*  *Within the certification body, do the individuals demonstrate competence prior to the individuals taking responsibility for the performance of their activities?*  *NOTE 1 A number of evaluation methods that can be used to evaluate knowledge and skills are described in Annex B.*  *NOTE 2 Annex C shows an example of process flow for determining and maintaining competence.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3 Determination of competence criteria**  **7.1.3.1 Competence Requirements for ISMS auditing** | |
| **7.1.3.1.1 General requirements** | |
| *Does the certification body have criteria for verifying the competence of audit team members to ensure that they have at least the skills to apply their knowledge of:*   1. *information security;* 2. *the technical aspects of the activity to be audited;* 3. *management systems;* 4. *the principles of auditing?*   *NOTE Further information on the principles of auditing can be found in ISO 19011.*   1. *knowledge of ISMS monitoring, measurement, analysis and evaluation.*   *The above requirements a) to e) apply to all auditors in the audit team. However, b) can be shared among members in the audit team.*  *Do the audit team members, collectively, have skills appropriate to the requirements above, which can be demonstrated through experience of their application?*  *Are the audit team members, collectively, competent in tracing indications of information security incidents in the client's ISMS back to the appropriate elements of the ISMS?*  *Individual auditors are not required to have a complete range of experience of all areas of information security, but do the audit team as a whole have appropriate competence to cover the ISMS scope being audited?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.1.2 Information security management terminology, principles, practices and techniques** | |
| *Does each auditor in an ISMS of the audit team have knowledge of:*   1. *ISMS specific documentation structures, hierarchy and interrelationships;* 2. *information security risk assessment and risk management;* 3. *processes applicable to ISMS?*   *Do the audit team members, collectively, have knowledge of:*   1. *information security management related tools, methods, techniques and their application;* 2. *the current technology where information security can be relevant or an issue?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.1.3 Information security management system standards and normative documents** | |
| *Does each auditor in an ISMS audit team have knowledge of all requirements contained in ISO/IEC 27001?*  *Do the audit team members, collectively, have knowledge of all controls contained in ISO/IEC 27001:2022, Annex A and their implementation?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.1.4 Business management practices** | |
| *Does each auditor in an ISMS audit team have knowledge of:*   1. *industry information security good practices and information security procedures;* 2. *policies and business requirements for information security;* 3. *general business management concepts, practices and the inter-relationship between policy, objectives and results?* 4. *management processes and related terminology?*   *NOTE These processes also include human resources management, internal and external communication and other relevant processes.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.1.5 Client business sector** | |
| *Does each auditor in an ISMS audit team have knowledge of:*   1. *the legal and regulatory requirements in the particular information security field, geography and jurisdiction(s);*   *NOTE Knowledge of legal and regulatory requirements does not imply a profound legal background.*   1. *information security risks related to business sector;* 2. *generic terminology, processes and technologies related to the client business sector;* 3. *the relevant business sector practices?*   *The criteria a) may be shared amongst the audit team.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.1.6 Client products, processes and organization** | |
| *Does the audit team members, collectively, have knowledge of:*   1. *the impact of organization type, size, governance, structure, functions and relationships on development and implementation of the ISMS and certification activities, including outsourcing;* 2. *complex operations in a broad perspective;* 3. *legal and regulatory requirements applicable to the product or service?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.2 Competence Requirements for conducting the application review** | |
| **7.1.3.2.1 Client business sector** | |
| *Do the personnel conducting the application review to: determine the audit team competence required, select the audit team members and determine the audit time, have knowledge of generic terminology, processes, technologies and risks related to the client business sector?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURTAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.2.2 Client products, processes and organization** | |
| *Do the personnel conducting the application review to: determine the audit team competence required, select the audit team members and determine the audit time, have knowledge of the impact of client products, processes, organization types, size, governance, structure, functions and relationships on development and implementation of the ISMS and certification activities, including externally provided functions?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.3 Competence Requirements for reviewing audit reports and making certification decisions** | |
| **7.1.3.3.1 General** | |
| *Do the personnel reviewing audit reports and making certification decisions have knowledge that enables them to verify the appropriateness of the scope of certification as well as changes to the scope and their impact on the effectiveness of the audit, in particular the continuing validity of the identification of interfaces and dependencies and the associated risks?*  *Additionally, do personnel reviewing audit reports and making the certification decisions shall have knowledge of:*   1. *management systems in general;* 2. *audit processes and procedures?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.3.2 Information security management terminology, principles, practices and techniques** | |
| *Do the personnel reviewing audit reports and making the certification decisions have knowledge of:*  *a) the items listed in 7.1.3.1.2 a), b) and c);*  *b) legal and regulatory requirements relevant to information security?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.3.3 Client business sector** | |
| *Do the personnel reviewing audit reports and making certification decisions have knowledge of generic terminology and risks related to the relevant business sector practices?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.1.3.3.4 Client products, processes and organization** | |
| *Do the personnel reviewing audit reports and making certification decisions have knowledge of client products, processes, organization types, size, governance, structure, functions and relationships?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 7.1.4Other considerations** | |
| *Does the certification body have access to the necessary technical expertise for advice on matters directly relating to certification activities for all technical areas, types of management systems and geographic areas in which the certification body operates?*  *Such advice may be provided externally or by certification body personnel.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 7.2 Personnel involved in the certification activities** | |
| **Clause 7.2.1**  *Does the certification body have sufficient, competent personnel for managing and supporting the type and range of audit programmes and other certification work performed?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.2.2**  *Does the certification body employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.2.3**  *Does the certification body make clear to each person concerned their duties, responsibilities and authorities?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.2.4**  *Does the certification body have processes for selecting, training, formally authorizing auditors and for selecting and familiarizing technical experts used in the certification activity?*  *Does the initial competence evaluation of an auditor include ability to apply required knowledge and skills during audits, as determined by a competent evaluator observing the auditor conducting an audit?*  *NOTE During the selection and training process described above desired personal behaviours can be considered. These are characteristics that affect an individual's ability to perform specific functions. Therefore, knowledge about the behaviours of individuals enables a certification body to take advantage of their strengths and to minimize the impact of their weaknesses.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.2.5**  *Does the certification body have a process to achieve and demonstrate effective auditing, including the use of auditors and audit team leaders possessing generic auditing skills and knowledge, as well as skills and knowledge appropriate for auditing in specific technical areas?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.2.6**  *Does the certification body ensure that auditors (and, where needed, technical experts) are knowledgeable of its audit processes, certification requirements and other relevant requirements?*  *Does the certification body give auditors and technical experts’ access to an up to-date set of documented procedures giving audit instructions and all relevant information on the certification activities?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.2.7**  *Does the certification body identify training needs and offer or provide access to specific training to ensure its auditors, technical experts and other personnel involved in certification activities are competent for the functions they perform?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.2.8**  *Does the group or individual that takes the decision on granting, refusing, maintaining, renewing, suspending, restoring or withdrawing certification, or on expanding or reducing the scope of certification, understand the applicable standard and certification requirements, and have demonstrated competence to evaluate the outcomes of the audit processes including related recommendations of the audit team?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.2.9**  *Does the certification body ensure the satisfactory performance of all personnel involved in the audit and certification activities?*  *Is there a documented process for monitoring competence and performance of all persons involved, based on the frequency of their usage and the level of risk linked to their activities?*  *Does the certification body review and record the competence of its personnel in the light of their performance in order to identify training needs?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.2.10**  *Does the certification body monitor each auditor considering each type of management system to which the auditor is deemed competent?*  *Do the documented monitoring procedures for auditors include combination of on-site observation, review of audit reports and feedback from clients or from the market?*  *Is the monitoring designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.2.11**  *Does the certification body periodically evaluate the performance of each auditor on-site?*  *Is the frequency of on-site evaluations based on the need determined from all monitoring information available?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.2.2 Demonstration of auditor knowledge and experience**  **Clause 7.2.2.1 General considerations** | |
| *Does the certification body demonstrate that auditors have knowledge and experience through each of the following:*   1. *recognized ISMS-specific qualifications;* 2. *registration as auditor where applicable;* 3. *participation in ISMS training courses and attainment of relevant personal qualification;* 4. *up to date professional development records;* 5. *ISMS audits witnessed by another ISMS auditor?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.2.2.2 Selecting auditors** | |
| *In addition to 7.1. 3.1, does the process for selecting auditors ensure that each auditor:*   1. *has professional education or training equivalent to university level;* 2. *has practical workplace experience in information technology and information security, which is sufficient to act as auditor for ISMS;* 3. *has received sufficient training regarding ISMS auditing and demonstrated skills of auditing an ISMS according to ISO/IEC 27001.*   *This experience shall be gained by performing as an auditor-in-training monitored by an ISMS evaluator (see ISO/IEC 17021-1:2015, 9.2.2.1.4) in at least one ISMS initial certification audit (stage 1 and stage 2) or re-certification and at least one surveillance audit. This experience shall be gained in at least 10 ISMS on-site audits days and performed in the last five years. The participation shall include document review; review of risk assessment and its implementation, and audit reporting;*   1. *maintains relevant and current knowledge and skills in information security and auditing.*   *NOTE 1 Skills maintenance can be demonstrated through continual professional development.*  *NOTE 2 The certification body requires a competence criteria catalogue to match the above requirements and evidence (see ISO/IEC 17021-1:2015, 7.1.2.)* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.2.2.3 Selecting technical experts** | |
| *Does the process for selecting technical experts ensure that each technical expert:*  *a) has professional education or training equivalent to university level;*  *b) has practical workplace experience in information technology and information security sufficient to act as a technical expert;*  *c) maintains relevant and current knowledge and skills in information security?*  *NOTE Skills maintenance can be demonstrated through continual professional development.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 7.2.2.4 Selecting auditors for leading the team.**  *In addition to 7.2.2.2, does the criteria for selecting an auditor for leading the team ensure that the auditor has actively participated in all stages of at least three ISMS audits?*  *The participation shall include initial scoping and planning, document review, review of risk assessment and its implementation, and formal audit reporting.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 7.3 Use of individual external auditors and external technical experts** | |
| *Does the certification body require external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and implemented processes as defined by the certification body?*  *Does the agreement address aspects relating to confidentiality and impartiality and require the external auditors and external technical experts to notify the certification body of any existing or prior relationship with any organization they may be assigned to audit?*  *NOTE Use of an individual or employee of another organization individually contracted to serve as an external auditor or technical expert does not constitute outsourcing.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 7.4 Personnel records** | |
| *Does the certification body maintain up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status and competence?*  *Does the record include management and administrative personnel in addition to those performing certification activities?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 7.5 Outsourcing** | |
| **Clause 7.5.1**  *Does the certification body have a process in which it describes the conditions under which outsourcing (which is subcontracting to another organization to provide part of the certification activities on behalf of the certification body) may take place?*  *Does the certification body have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced services?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.5.2**  *Are decisions for granting, refusing maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification are not outsourced?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.5.3**  *Does the certification body:*   1. *take responsibility for all activities outsourced to another body;* 2. *ensure that the body that provides outsourced services, and the individuals that it uses, conform to requirements of the certification body and also to the applicable provisions of* 3. *ISO/IEC 17021-1, including competence, impartiality and confidentiality;* 4. *ensure that the body that provides outsourced services, and the individuals that it uses, are not involved, either directly or through any other employer, with an organization to be audited, in such a way that impartiality could be compromised?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 7.5.4**  *Does the certification body have a process for the approval and monitoring of all bodies that provide outsourced services used for certification activities?*    *Does the certification body ensure that records of the competence of all personnel involved in certification activities are maintained?*  *NOTE 1 For Clauses 7.5.1 to 7.5.4, where the certification body engages individuals or employees of other organizations to provide additional resources or expertise, these individuals do not constitute outsourcing provided they are individually contracted to operate under the certification body’s management system (see Clause 7.3).*  *NOTE 2 For Clauses 7.5.1 to 7.5.4, the terms “outsourcing” and “subcontracting” are considered to be synonyms.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 8.2 Certification documents** | |
| **Clause 8.2.1**  *Does the certification body provide by any means it chooses certification documents to the certified client?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 8.2.2**  *Does the certification document(s) identify the following:*   1. *the name and geographical location of each certified client (or the geographical location of the headquarters and any sites within the scope of a multi-site certification);* 2. *the effective date of granting, expanding or reducing the scope of certification, or renewing certification which shall not be before the date of the relevant certification decision;*   *NOTE The certification body can keep the original certification date on the certificate when a certificate lapses for a period of time provided that:*  *— the current certification cycle start and expiry date are clearly indicated;*  *— the last certification cycle expiry date be indicated along with the date of recertification audit.*   1. *the expiry date or recertification due date consistent with the recertification cycle;* 2. *a unique identification code;* 3. *the management system standard and/or other normative document, including indication of issue status (e.g., revision date or number) used for audit of the certified client;* 4. *the scope of certification with respect to the type of activities, products and services as applicable at each site without being misleading or ambiguous;* 5. *the name, address and certification mark of the certification body; other marks (e.g., accreditation symbol, client’s logo) may be used provided they are not misleading or ambiguous;* 6. *any other information required by the standard and/or other normative document used for certification;* 7. *in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 8.2 Certification documents**  **Clause 8.2.2 ISMS Certification documents** | |
| *Are certification documents signed by an officer who has been assigned that responsibility?*  *Is the version of the Statement of Applicability included in the certification documents?*  *NOTE A change to the Statement of Applicability which does not change the coverage of the controls in the scope of certification does not require an update of the certification documents.*  *Where no activity of the organization within the scope of the certification is undertaken at a defined physical location at all, do the certification document(s) state that all activities of the organization are conducted remotely?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 8.2.3 Reference of other standards in the ISMS certification documents** | |
| *Do the certification documents reference national and international standards only if:*  *a) the organization has compared all of its necessary controls with those in the reference control source(s), to determine that it has not inadvertently omitted any such reference control in accordance with ISO/IEC 27001:2022, 6.1.3 c);*  *b) a justification for excluded reference controls is stated in the Statement of Applicability (SoA) in accordance with ISO/IEC 27001:2022, 6.1.3 d)?*  *The reference control standards can be based on ISO/IEC 27001:2022, Annex A, or be standards that include information security controls.*  *Do the certification documents state that the control set(s) applied in the SoA are used only for referencing the relevance of the inclusion or exclusion of controls in the ISMS and not used for conformity assessment?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 8.4.2 Access to organisational records** | |
| *Before the certification audit, does the certification body ask the client to report if any ISMS related information (such as ISMS records or information about design and effectiveness of controls) cannot be made available for review by the audit team because it contains confidential or sensitive information?*  *Does the certification body determine whether the ISMS can be adequately audited in the absence of such information?*  *If the certification body concludes that it is not possible to adequately audit the ISMS without reviewing the identified confidential or sensitive information, does it advise the client that the certification audit cannot take place until appropriate access arrangements are granted?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 9 Process requirements** | |
| **9.1 Pre-certification activities** | |
| **Clause 9.1.1 Application**  *Does the certification body require an authorized representative of the applicant organization to provide the necessary information to enable it to establish the following:*   1. *the desired scope of the certification;* 2. *relevant details of the applicant organisation as required by the specific certification scheme, including its name and the address(es) of its site(s), its processes and operations, human and technical resources, functions, relationships and any relevant legal obligation;* 3. *identification of outsourced processes used by the organisation that will affect conformity to requirements;* 4. *the standards or other requirements for which the applicant organisation is seeking certification;* 5. *whether consultancy relating to the management system to be certified has been provided and, if so, by whom?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.1.1.2 Considerations for certification procedures** | |
| *Do the certification body’s procedures not presuppose a particular manner of implementation of an ISMS or a particular format for documentation and records?*  *Do certification procedures focus on confirming that a client’s ISMS meet the requirements specified in ISO/IEC 27001 and the policies and objectives of the client?*  *NOTE It is possible for an organization to design its own necessary controls or to select them from any source, therefore it is possible that an organization is certified to ISO/IEC 27001 even though none of its necessary controls are those specified in ISO/IEC 27001:2022, Annex A.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.1.2 Application Review** | |
| **Clause 9.1.2.1**  *Does the certification body conduct a review of the application and supplementary information for certification to ensure that:*   1. *the information about the applicant organisation and its management system is sufficient to develop an audit programme (see Clause 9.1.3)* 2. *any known difference in understanding between the certification body and the application organisation is resolved;* 3. *the certification body has the competence and ability to perform the certification activity;* 4. *the scope of certification sought, the site(s) of the applicant organisation’s operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.)?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.1.2.2**  *Following the review of the application, does the certification body either accept or decline an application for certification.*  *When the certification body declines an application for certification as a result of the review of application, are the reasons for declining an application documented and made clear to the client?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.1.2.3**  *Based on this review, does the certification body determine the competences it needs to include in its audit team and for the certification decision?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.1.3 Audit programme** | |
| **Clause 9.1.3.1**  *Is an audit programme for the full certification cycle developed to clearly identify the audit activity/activities required to demonstrate that the client’s management system fulfils the requirements for certification to the selected standard(s) or other normative document(s)?*  *Does the audit programme for the certification cycle cover the complete management system requirements?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by the AB)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.1.3.2**  *Does the audit programme for the initial certification include a two-stage initial audit, surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification?*  *Does the first three-year certification cycle begin with the certification decision?*  *Do subsequent cycles begin with the recertification decision (See Clause 9.6.3.2.3)?*  *Does the determination of the audit programme and any subsequent adjustments consider the size of the client, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits?*  *NOTE 1 Annex E of ISO/IEC 17021-1 is a flowchart of a typical audit and certification process.*  *NOTE 2: The following list contains additional items that can be considered when developing or revising an audit programme, they might also need to be addressed when determining the audit scope and developing the audit plan:*   * *Complaints received by the certification body about the client;* * *Combined integrated or joint audit;* * *Changes to certification requirements;* * *- Changes to legal requirements;* * *Changes to accreditation requirements;* * *Organisational performance data (e.g. defect levels, key performance indicators data)* * *Relevant interested parties’ concerns*   *NOTE 3 If specified by the industry specific certification scheme, the certification cycle can be different from three years.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.1.3.2 General considerations** | |
| *Does the audit programme for ISMS audits take the information security controls determined by the client into account?*  *NOTE 1 The information security controls can be from ISO/IEC 27001:2022, Annex A, and/or other applicable standard(s) and/or self-designed.*  *NOTE 2 Further guidance on auditing is given in ISO/IEC 27007.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.1.3.3**  *Are surveillance audits conducted at least once a calendar year, except in recertification years?*  *Is the date of the first surveillance audit following initial certification not more than 12 months from the certification decision date?*  *NOTE It can be necessary to adjust the frequency of surveillance audits to accommodate factors such as seasons or management systems certification of a limited duration (e.g. temporary construction site)* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.1.3.3 Deployment of remote audit** | |
| *Does the certification body intending to conduct remote audit activities define procedures to determine the level of remote audit activities (“remote audits”) that can be applied to auditing a client’s ISMS?*  *Do the procedures include analysis of the risks related to the use of remote auditing for the client, which shall consider the following factors:*  *a) available infrastructure of the certification body and the client;*  *b) sector in which the client operates;*  *type(s) of audit during the certification cycle from initial audit to recertification audit;*  *d) competence of the persons of the certification body and the client, who are involved in the remote audit;*  *e) previously demonstrated performance of remote audits for the client;*  *f) scope of the certification.*  *Is the analysis performed prior to performing any remote audit? Are the analysis and the justification for use of remote audit during the certification cycle documented?*  *Does the audit plan and audit report shall include clear indications if remote audit activities have been performed?*  *Remote audits shall not be used if the risk assessment identifies unacceptable risks to the effectiveness of the audit process.*  *Is the risk assessment reviewed during the certification cycle to ensure its continued suitability?*  *NOTE In case the client uses virtual sites (i.e. location where an organization performs work or provides a service using an online environment allowing persons involved to execute processes irrespective of physical locations), remote audit techniques are a relevant part of the audit plan.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.1.3.4**  *Where the certification body is taking account of certification already granted to the client and to audits performed by another certification body, does the certification body obtain and retain sufficient evidence, such as reports and documentation on corrective actions, to any nonconformity?*  *Does the documentation support the fulfilling of the requirements in this part of ISO/IEC 17021?*  *Does the certification body, based on the information obtained, justify and record any adjustments to the existing audit programme and follow up the implementation of corrective actions concerning previous nonconformities?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.1.3.4 General preparations for the initial audit** | |
| *Does the certification body require that a client makes all necessary arrangements to ensure access to internal audit reports and reports of independent reviews of information security?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.1.3.5 Review periods** | |
| *The certification body shall not certify an ISMS unless there is sufficient evidence to demonstrate that arrangements for management reviews and internal ISMS audits have been implemented, are effective, and will be maintained covering the scope of certification.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.1.3.5**  *Where the client operates shifts, do the activities that take place during shift working are considered when developing the audit programme and audit plans?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.1.3.6 Scope of ISMS certification** | |
| *Does the audit team audit the ISMS of the client covered by the defined scope against all applicable certification requirements?*  *Does the certification body confirm, in the scope of the client ISMS, the client addresses the requirements stated in ISO/IEC 27001:2022, 4.3?*  *Does the certification body ensure that the client’s information security risk assessment and risk treatment properly reflect its activities and extend to the boundaries of its activities as defined in the scope of certification?*  *Does the certification body confirm that this is reflected in the scope of the client’s ISMS and SoA?*  *Does the certification body verify that there is at least one SoA per scope of certification?*  *Does the certification body ensure that interfaces with services or activities that are not completely within the scope of the ISMS are addressed within the ISMS subject to certification and are included in the client’s information security risk assessment?*  *An example of such a situation is the sharing of facilities (e.g. IT systems, databases and telecommunication systems or the outsourcing of a business function) with other organizations* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.1.4 Determining audit time** | |
| **Clause 9.1.4.1**  *Does the certification body have documented procedures for determining audit time?*  *For each client, does the certification body determine the time needed to plan and accomplish a complete and effective audit of the client’s management system?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.1.4.2 Audit time** | |
| *Does the certification body use Annex C to determine audit time?*  *NOTE Further guidance and examples on audit time calculation are provided in Annex D* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.1.4.2**  *In determining the audit time, does the certification body consider, among other things, the following aspects:*   1. *the requirement of the relevant QMS/EMS standards;* 2. *complexity of the client and its management system;* 3. *technological and regulatory context;* 4. *Any outsourcing of any activities included in the scope of the QMS/EMS; e) results of any prior audits;* 5. *size and number of sites, their geographical locations and multi-site considerations;* 6. *the risks associated with the products, processes or activities of the organisation;* 7. *when audits are combined, joint or integrated?*   *NOTE 1: Time spent travelling to and from audited sites is not included in the calculation of the duration of the management system audit days.*  *NOTE 2: The certification body can use the guidance established in ISO/IEC TS 17023 for determining the duration of management system audit when documenting these procedures.*  *Where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003 or*  *ISO/IEC 27006, these shall be applied*. | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.1.4.3**  *Are the duration of the management system audit and its justification recorded?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause****9.1.4.4**  *Does the time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters, observers and auditors-in-training) not count in the above established duration of the management system audit?*  *NOTE* *The use of translators and interpreters can necessitate additional time.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.1.5 Multi-site sampling** | |
| *Where multi-site sampling is used for the audit of a client’s management system covering the same activity in various geographical locations, does the certification body develop a sampling programme to ensure proper audit of the management system?*  *Is rationale for the sampling plan documented for each client?*  *Sampling is not allowed for some specific certification schemes, and where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003, these shall be applied.*  *NOTE: Where there are multiple sites not covering the same activity sampling is not appropriate.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.1.5.2 Multiple Sites** | |
| **Clause 9.1.5.2.1**  *Where a client has a number of sites meeting the criteria from a) to c) below, does the certification bodies consider using a sample-based approach to multiple-site certification audit:*   1. *all sites are operating under the same ISMS, which is centrally administered and audited and subject to central management review;* 2. *all sites are included within the client’s internal ISMS audit programme;* 3. *all sites are included within the client’s ISMS management review programme?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.1.5.2.2**  *Does the certification body wishing to use a sample-based approach, have procedures to ensure:*   1. *The initial contract review identifies, to the greatest extent possible, the difference between sites such that an adequate level of sampling is determined?* 2. *A representative number of sites have been sampled by the certification body, taking into account:* 3. *the results of internal audits of the centre office (if Appropriate) and the sites;* 4. *the results of management review.* 5. *variations in the size of the sites.* 6. *variations in the business purpose of the sites.* 7. *complexity of the information systems at the different sites.* 8. *variations in working practices* 9. *variations in activities undertaken;* 10. *variations of design and operation of controls;* 11. *potential interaction with critical information systems or information systems processing sensitive information;* 12. *any differing legal requirements;* 13. *geographical and cultural aspects;* 14. *risk situation of the sites;* 15. *information security incidents at the specific sites?* 16. *A representative sample is selected from all sites within the scope of the client’s ISMS; this selection shall be based upon judgmental choice to reflect the factors presented in item b) above as well as a random element.* 17. *Every site included in the ISMS which is subject to significant risks is audited by the certification body prior to certification.* 18. *The audit programme has been designed in light of the above requirements and covers representative samples of the scope of the ISMS certification within the three-year period.* 19. *In the case of a nonconformity being observed, at a single site, the corrective action procedure* *applies to all sites covered by the certificate*   *Does the audit address the client’s activities to ensure that a single ISMS applies to all sites and delivers central management at the operational level?*  *Does the audit address all the issues outlined above?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.1.6 Multiple management systems standards** | |
| *When certification to multiple management system standards is being provided by the certification body, does the planning for the audit ensure adequate on-site auditing to provide confidence in the certification?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.1.6.2 Integration of ISMS and other management system documentation** | |
| *Does the certification body accept documentation that is combined (e.g. for information security, quality, health and safety and environment) as long as the ISMS can be clearly identified together with the appropriate interfaces to the other management systems?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.1.6.3 Combining management system audits** | |
| *Is the ISMS audit combined with audits of other management systems, if it can be demonstrated that the audit satisfies all requirements for certification of the ISMS?*  *Are all the important elements for an ISMS appear clearly and be readily identifiable in the audit reports. The quality of the audit shall not be adversely affected by the combination of the audits?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 9.2 Planning Audits**  **9.2.1 Determining Audit objectives scope and criteria** | |
| **Clause 9.2.1.1**  *Does the certification body determine the audit objectives?*  *Does the certification body establish the audit scope and criteria, including any changes, after discussion with the client?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.2.1.2 Audit objectives** | |
| *The audit objectives shall include:*   1. *determining the effectiveness of the management system;* 2. *ensuring that the client, based on the risk assessment, has identified the necessary controls; and* 3. *determining that the established information security objectives have been achieved.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.1.2**  *Do the audit objectives describe what is to be accomplished by the audit and include the following:*   1. *determination of the conformity of the client's management system, or parts of it, with audit*   *criteria;*   1. *evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements;*   *NOTE: A management system certification audit is not a legal compliance audit.*   1. *determination of the effectiveness of the management system to ensure the client organization can reasonably expect to achieving its specified objectives; and* 2. *as applicable, identification of areas for potential improvement of the management system?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.1.3**  *Does the audit scope describe the extent and boundaries of the audit, such as physical locations, organizational units, activities and processes to be audited?*  *Where the initial or re-certification process consists of more than one audit (e.g. covering different locations), does the scope of an individual audit not cover the full certification scope, but the totality of audits is consistent with the scope in the certification document?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.2.1.3** | |
| *Do the criteria for auditing the ISMS of a client include ISO/IEC 27001?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.1.4**  *Is the audit criteria used as a reference against which conformity is determined, and does it include:*   * *the requirements of a defined normative document on management systems;* * *the defined processes and documentation of the management system developed by the client?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 9.2.2 Audit team selection and assignments**  **9.2.2.1.1 General** | |
| **Clause 9.2.2.1.1**  *Does the certification body have a process for selecting and appointing the audit team, including the audit team leader and technical experts as necessary, taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality?*  *If there is only one auditor, Does the auditor have the competence to perform the duties of an audit team leader applicable for that audit?*  *Does the audit team have the totality of the competences identified by the certification body as set out in Clause 9.1.2.3 for the audit?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.2.1.2**  *In deciding the size and composition of the audit team, is consideration given to the following:*   1. *audit objectives, scope, criteria and estimated audit time;* 2. *whether the audit is combined, joint or integrated;* 3. *the overall competence of the audit team needed to achieve the objective of the audit (See*   *Table A.1 of ISO/IEC 17021-1)*   1. *certification requirements (including any applicable statutory, regulatory or contractual requirements);* 2. *language and culture?*   *NOTE The team leader of a combined or integrated audit is expected to have in-depth knowledge of at least one of the standards and an awareness of the other standards used for that particular audit.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by the AB)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.2.1.3**  *Is the knowledge and skills of the audit team leader and auditors supplemented by technical experts, translators and interpreters, and operate under the direction of an auditor?*  *Are translators or interpreters selected such that they do not unduly influence the audit?*  *NOTE The criteria for the selection of technical experts are determined on a case-by-case basis by the needs of the audit team and the scope of the audit.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.2.1.4**  *Are auditors-in-training included in the audit team as participants, provided an auditor is appointed as an evaluator?*  *Is the evaluator competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by the MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.2.1.5**  *Does the audit team leader, in consultation with the audit team, assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities?*  *Do these assignments take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts?*  *Are changes to the work assignments made as the audit progresses to ensure achievement of the audit objectives?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.2.2 Observers, technical experts and guides** | |
| **Clause 9.2.2.2.1 Observers** | |
| *Is the presence and justification of observers during an audit activity agreed to by the certification body and client prior to the conduct of the audit?*  *Does the audit team ensure that observers do not unduly influence or interfere in the audit process or outcome of the audit?*  *NOTE Observers can be members of the client’s organisation, consultants, witnessing accreditation body personnel, regulators or other justified persons.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.2.2.2 Technical experts** | |
| *Is the role of technical experts during an audit activity agreed to by the certification body and client prior to the conduct of the audit?*  *Does a technical expert not act as an auditor in the audit team?*  *Is the technical expert accompanied by an auditor?*  *NOTE The technical experts can provide advice to the audit team for the preparation, planning or audit.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.2.2.3 Guides** | |
| *Is each auditor accompanied by a guide, unless otherwise agreed to by the audit team leader and the client?*    *Are guide(s) assigned to the audit team to facilitate the audit?*  *Does the audit team ensure that guides do not influence or interfere in the audit process or outcome of the audit?*  *NOTE 1 The responsibilities of a guide can include:*   1. *establishing contacts and timing for interviews;* 2. *arranging visits to specific parts of the site or organization;* 3. *ensuring that rules concerning site safety and security procedures are known and respected by the audit team members;* 4. *witnessing the audit on behalf of the client;* 5. *providing clarification or information as requested by an auditor.*   *NOTE 2 Where appropriate, the auditee can also act as the guide.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.2.3 Audit plan** | |
| **Clause 9.2.3.1 General** | |
| *Does the certification body ensure that an audit plan is established prior to each audit identified in the audit programme to provide the basis for agreement regarding the conduct and scheduling of the audit activities?*  *NOTE It is not expected that a certification body will develop an audit plan for each at the time that the audit programme is developed.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.3.2 Preparing the audit plan** | |
| *Is the audit plan appropriate to the objectives and the scope of the audit?* *Does the audit plan include or refer to the following at least:*  *a) the audit objectives;*   1. *the audit criteria;* 2. *the audit scope, including identification of the organizational and functional units or processes to be audited;* 3. *the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites, as appropriate;* 4. *the expected time and duration of on-site audit activities;* 5. *the roles and responsibilities of the audit team members and accompanying persons?*   *NOTE The audit plan information can be contained in more than one document.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.2.3.2 General considerations** | |
| *Does the audit plan for ISMS audits take the determined information security controls into account?*  *NOTE It is good practice for a certification body to agree on the timing of the audit with the organization being audited to best demonstrate the full scope of the organization. Considerations can include season, month, day/dates and shifts, as appropriate.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.3.3 Communication of audit team tasks** | |
| *Are the tasks given to the audit team defined?*  *Does the certification body require the audit team to:*   * 1. *Examine and verify the structure, policies, processes, procedures, records and related documents of the client relevant to the management system standard;*  1. *Determine that these meet all the requirements relevant to the intended scope of certification;* 2. *Determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client’s QMS/EMS management system; and* 3. *Communicate to the client, for its action, any inconsistencies between the client’s policy, objectives and targets?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURTIAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.2.3.3 Remote audit techniques** | |
| *Does the objective of remote auditing techniques is to enhance audit effectiveness and efficiency, and to support the integrity of the audit process?*  *Does the audit plan reference tools that are used to assist remote auditing?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.3.4 Communication of audit plan** | |
| *Is the audit plan communicated and the dates of the audit agreed upon, in advance, with the client organization?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.2.3.5 Communication concerning audit team members** | |
| *Does the certification body provide the name of and, when requested, make available background information on each member of the audit team, with sufficient time for the client organisation to object to the appointment of any particular auditor or technical expert and for the certification body to reconstitute the team in response to any valid objection?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 9.3 Initial certification**  **9.3.1 Initial certification audit** | |
| **Clause 9.3.1.1 General** | |
| *Is the initial certification audit of the management system conducted in two stages: stage 1 and stage 2?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.3.1.2 Stage 1** | |
| **Clause 9.3.1.2.1**  *Does planning ensure that the objectives of stage 1 can be met and the client be informed of any “on site” activities during stage 1?*  *NOTE Stage 1 does not require a formal audit plan (see Clause 9.2.3)* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.3.2.1 Stage 1** | |
| *In this stage of the audit, does the certification body obtain documentation on the design of the ISMS covering the documentation required in ISO/IEC 27001?*  *As a minimum, are the following information provided by the client during stage 1 of the certification audit:*  *a) general information concerning the ISMS and the activities it covers;*  *b) a copy of the required ISMS documentation specified in ISO/IEC 27001 and, where required, other associated documentation?*  *Does the certification body shall obtain sufficient understanding of the design of the ISMS in the context of the client's organization, risk assessment and treatment (including the controls determined), information security policy and objectives and, in particular, of the client's preparedness for the audit?*  *Is this shall be used for planning the stage 2 audit?*  *Are the results of stage 1 documented in a written report?*  *Does the certification body review the stage 1 audit report before deciding on proceeding with stage 2?*  *Does the certification body confirm the stage 2 audit team members have the necessary competence? This may be done by the auditor leading the team that conducted the stage 1 audit if deemed competent and appropriate.*  *NOTE Having a person from the certification body who is not involved in the audit reviewing the report, and who decides to proceed and confirms the competence of the audit team members for stage 2, offers a degree of mitigation for the risks involved. However, other risk mitigation measures can already be in place to achieve the same goal.*  *Does the certification body make the client aware of the further types of information and records that may be required for detailed examination during stage 2?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.3.1.2.2**  *Are the objectives of stage 1 to:*   1. *Review the client’s management system documented information;* 2. *Evaluate the client’s site-specific conditions and to undertake discussions with the client’s personnel to determine the preparedness for stage 2;* 3. *Review the client’s status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;* 4. *Obtain necessary information regarding the scope of the management system, including:*  * *the client’s site(s);* * *processes and equipment used;* * *levels of controls established (particularly in case of multisite clients);* * *applicable statutory and regulatory requirements;*  1. *Review the allocation of resources for stage 2 and agree the details of stage 2 with the client;* 2. *Provide a focus for planning stage 2 by gaining a sufficient understanding of the client’s management system and site operations in the context of the management system standard or other normative document; and* 3. *Evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2?*   *NOTE If at least part of stage 1 is carried out at the client’s premises, this can help to achieve the objectives stated above.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.3.1.2.3**  *Are documented conclusions with regard to fulfilment of the stage 1 objectives and the readiness for stage 2 communicated to the client, including identification of any areas of concern that could be classified as nonconformity during stage 2?*    *NOTE The stage 1 output does not need to meet the full requirements of a report (see Clause 9.4.8)* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.3.1.2.4**  *In determining the interval between stage 1 and stage 2, is consideration given to the needs of the client to resolve areas of concern identified during stage 1?*  *Has the CB revised its arrangements for stage 2, when necessary?*  *Does the CB consider the need to repeat all or part of stage 1 in case of significant changes, that could impact the management, occur?*  *Are clients informed that the results of stage 1 may lead to postponement or cancellation of stage 2?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.3.1.3 Stage 2** | |
| *The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the client’s management system. Does the stage 2 stake place at the site(s) of the client?*  *Does it include the auditing of at least the following:*   1. *Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;* 2. *Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);* 3. *The client’s management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;* 4. *Operational control of the client’s processes;* 5. *Internal auditing and management review;* 6. *Management responsibility for the client’s policies?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.3.2.2 Stage 2** | |
| *Based on the findings documented in the stage 1 audit report, does the certification body develop an audit plan for the conduct of stage 2?*  *In addition to evaluating the effective implementation of the ISMS, the objective of stage 2 is to confirm that the client adheres to its own policies, objectives and procedures.*  *To do this, does the certification body audit shall focus on the client’s:*   1. *top management leadership and commitment to the information security objectives.* 2. *assessment of information security related risks; the audit shall also ensure that the assessments produce consistent, valid and comparable results if repeated;* 3. *determination of controls based on the information security risk assessment and risk treatment processes;* 4. *information security performance and the effectiveness of the ISMS, evaluating these against the information security objectives;* 5. *correspondence between the determined controls, the Statement of Applicability, the results of the information security the risk assessment and risk treatment process and the information security policy and objectives;* 6. *implementation of controls (see Annex E of for examples on auditing controls), taking into account the external and internal context and related risks, and the organization’s monitoring, measurement and analysis of information security processes and controls, to determine whether controls declared as being implemented and effective as a whole;* 7. *programmes, processes, procedures, records, internal audits and reviews of the ISMS effectiveness to ensure that these are traceable to top management decisions and the information security policy and objectives?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.3.1.4 Initial certification audit conclusions** | |
| *Does the audit team analyze all information and audit evidence gathered during stage 1 and stage 2 to review the audit findings and agree on audit conclusions?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by the AB)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.4 Conducting audits** | |
| **Clause 9.4.1 General** | |
| *Does the certification body have a process for conducting on-site audits?*  *Does this process include an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit?*    *Where any part of the audit is made by electronic means or where the site to be audited is virtual, does the certification body ensure that such activities are conducted by personnel with appropriate competence?*  *Is the evidence obtained during such an audit sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question?*  *NOTE: “On-site” audits can include remote access to electronic site(s) that contain(s) information that*  *is relevant to the audit of the management system. Consideration can also be given to the use of electronic means for conducting audits* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause** **9.4.2 Conducting the opening meeting** | |
| *Is a formal opening meeting held with the client’s management and, where appropriate, those responsible for the functions or processes to be audited?*  *Is the purpose of the opening meeting, which is usually conducted by the audit team leader, to provide a short explanation of how the audit activities will be undertaken?*  *Is the degree of details consistent with the familiarity of the client with the audit process?*  *Does the opening meeting include the following:*   1. *Introduction of the participants, including an outline of their roles;* 2. *Confirmation of the scope of certification;* 3. *Confirmation of the audit plan (including type and scope of audit, objectives and criteria), any changes, and other relevant arrangements with the client, such as the date and time for the closing meeting, interim meeting between the audit team and the client’s management;* 4. *Confirmation of formal communication channels between the audit team and the client;* 5. *Confirmation that the resources and facilities needed by the audit team available;* 6. *Confirmation of matters relating to confidentiality;* 7. *Confirmation of relevant work safety, emergency and security procedures for the audit team;* 8. *Confirmation of the availability, roles and identities of any guides and observers;* 9. *The method of reporting, including any grading of audit findings;* 10. *Information about the conditions under which the audit may be prematurely terminated;* 11. *Confirmation that the audit team leader and audit team representing the certification body is responsible for the audit and be in control of executing the audit plan including audit activities and audit trails;* 12. *Confirmation of the status of findings of the previous review or audit, if applicable;* 13. *Methods and procedures to be used to conduct the audit based on sampling;* 14. *Confirmation of the language to be used during the audit;* 15. *Confirmation that, during the audit, the client will be kept informed of audit progress and any concerns; and* 16. *Opportunity for the client to ask questions?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.4.2 Specific elements of the ISMS audit** | |
| *Does the certification body, audit team :*   1. *require the client to demonstrate that the assessment of information security related risks is relevant and adequate for the ISMS operation within the ISMS scope;* 2. *establish whether the client’s procedures for the identification, examination and evaluation of information security related risks and the results of their implementation are consistent with the client’s policy, objectives and targets?*   *Does the certification body also establish whether the procedures employed in risk assessment are sound and properly implemented?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.4.3 Communication during the audit** | |
| **Clause 9.4.3.1**  *During the audit, does the audit team periodically assess audit progress and exchange information?*    *Does the audit team leader re assign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.3.2**  *Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), does the audit team leader report this to the client, if possible, to the certification body to determine appropriate action?*  *Does such action include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit?*  *Does the audit team leader report the outcome of the action taken to the certification body?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.3.3**  *Does the audit team leader review with the client any need for changes to the audit scope which becomes apparent as on-site auditing activities progress and report this to the certification body?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.4.3 Audit Report** | |
| **Clause 9.4.3.1**  *Does the audit report provide the following information or a reference to it:*   1. *an account of the audit of the client's information security risk analysis;* 2. *any information security control sets used by the organization for comparison purposes as required by ISO/IEC 27001:2022, 6.1.3 c)?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.4.3.2** | |
| *Is the audit report sufficiently detailed to facilitate and support the certification decision?*  *Does it contain:*   1. *significant audit trails followed and audit methodologies utilized (see 9.1.1.2);* 2. *a reference to the version of the Statement of Applicability and, where applicable, any useful comparison with the results of previous certification audits of the client?*   *Completed questionnaires, checklists, observations, logs, or auditor notes may form an integral part of the audit report. If these methods are used, have these documents been submitted to the certification body as evidence to support the certification decision?*  *Is information about the samples evaluated during the audit included in the audit report, or in other certification documentation?*  *Where remote audit methods have been used, does the report indicate the extent to which they have been used in carrying out the audit and their effectiveness in achieving the audit objectives?*  *Where the activities of the organization are not undertaken at a defined physical location and therefore all activities of the organization are conducted remotely, does the audit report state that all activities of the organization are conducted remotely?*  *Does the report consider the adequacy of the internal organization and procedures adopted by the client to give confidence in the ISMS?*  *Does the report include a summary of the most important observations, positive as well as negative, regarding the implementation and effectiveness of the ISMS requirements and information security controls?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.4.4 Obtaining and verifying information** | |
| **Clause 9.4.4.1**  *During the audit, does the auditor of the certification body collect information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) by appropriate sampling and verified to become audit evidence?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| ***Clause 9.4.4.2***    *Does the auditor of the certification body use methods to collect information which include, but not limited to:*   1. *Interviews;* 2. *Observation of processes and activities;* 3. *Review of documentation and records?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.5 Identifying and recording audit findings** | |
| **Clause 9.4.5.1**  *Are the audit findings summarizing conformity and detailing nonconformity identified, classified and recorded to enable an informed certification decision to be made or the certification to be maintained?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.5.2**  *Are Opportunities for improvement identified and recorded, unless prohibited by the requirements of a management system certification scheme?*    *Does the auditor of the certification body not record nonconformities as opportunities improvement?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.5.3**  *Are nonconformities recorded against a specific requirement of the audit criteria, and do they contain a clear statement of the nonconformity and identify in detail the objective evidence on which the nonconformity is based?*  *Are nonconformities discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood?*  *Does the auditor refrain from suggesting the cause of nonconformities or their solution?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.5.4**  *Does the audit team leader attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings?*  *Are unresolved points recorded?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.6 Preparing audit conclusions** | |
| *Under the responsibility of the audit team leader and prior to the closing meeting, does the audit team:*   1. *review the audit findings, and any other appropriate information collected during the audit, against the audit objective and audit criteria and classify nonconformities;* 2. *agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process;* 3. *agree any necessary follow-up actions;* 4. *confirm the appropriateness of the audit programme or identify any modification required (e.g. scope of certification, audit time or dates, surveillance frequency, audit team competence)?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.7 Conducting the closing meeting** | |
| **Clause 9.4.7.1**  *Does the audit team of the certification body hold a formal closing meeting with the client's management and, where appropriate, those responsible for the functions or processes audited?*  *Is attendance of the closing meeting recorded?*  *Is the purpose of the closing meeting, normally conducted by the audit team leader, to present the audit conclusions, including the recommendation regarding certification?*  *Are all nonconformities presented in such a manner that they are understood, and the timeframe for responding agreed?*  *NOTE “Understood” does not necessarily mean that the nonconformities have been accepted by the client.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.7.2**  *Does the closing meeting also include the following elements where the degree of detail consistent with the familiarity of the client with the audit process:*   1. *advising the client that the audit evidence collected was based on a sample of the information; thereby introducing an element of uncertainty;* 2. *the method and timeframe of reporting, including any grading of audit findings;* 3. *the certification body's process for handling nonconformities including any consequences relating to the status of the client's certification;* 4. *the timeframe for the client to present a plan for correction and corrective action for any*   *nonconformities identified during the audit;*   1. *the certification body's post audit activities;* 2. *information about the complaint handling and appeal processes.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.7.3**  *Does the audit team of the certification body give the client opportunity for questions?*  *Are diverging opinions regarding the audit findings or conclusions between the audit team and the client discussed and resolved where possible?*  *Are diverging opinions that are not resolved recorded and referred to the certification body?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.8 Audit report** | |
| **Clause 9.4.8.1**  *Does the certification body provide to the client a written report for each audit? Does the audit team identify opportunities for improvement without recommending specific solutions?*  *Is the ownership of the audit report maintained by the certification body?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.8.2**  *Does the audit team leader ensure that the audit report is prepared and is responsible for its content?*    *Does the audit report provide an accurate, concise and clear record of the audit to enable an informed certification decision to be made and include or refer to the following:*   1. *identification of the certification body;* 2. *the name and address of the client and the client's representative;* 3. *the type of audit (e.g. initial, surveillance or recertification audit or special audits);* 4. *the audit criteria;* 5. *the audit objectives;* 6. *the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;* 7. *any deviation from the audit plan and their reason;* 8. *any significant issues impacting on the audit programme;* 9. *identification of the audit team leader, audit team members and any accompanying persons;* 10. *the dates and places where the audit activities (on site or offsite, permanent or temporary;* 11. *audit findings (see 9.4.5), reference to evidence and conclusions, consistent with the requirements of the type of audit;* 12. *Significant changes, if any, that affect the management system of the client since last audit took place;* 13. *any unresolved issues, if identified.* 14. *where applicable, whether the audit is combined, joint or integrated;* 15. *a disclaimer statement indicating that auditing is based on a sampling process of the available information;* 16. *recommendation from the audit team* 17. *the audited client is effectively controlling the use of the certification documents and marks, if applicable;* 18. *verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.8.3**  *Does the report contain:*   1. *a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:*  * *the capability of the management system to meet applicable requirements and expected outcomes;* * *the internal audit and management review process;*  1. *a conclusion on the appropriateness of the certification scope;* 2. *confirmation that the audit objectives have been fulfilled?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.4.9 Cause analysis of nonconformities** | |
| *Does the certification body require the client to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **9.4.10 Effectiveness of corrections and corrective actions** | |
| *Does the certification body review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable?*  *Does the certification body verify the effectiveness of any correction and corrective actions taken?*  *Is the evidence obtained to support the resolution of nonconformities recorded?*  *Is the client informed of the result of the review and verification?*  *Is the client informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits) will be needed to verify effective correction and corrective actions?*  *NOTE Verification of effectiveness of correction and corrective action can be carried out based on a review of documentation provided by the client, or where necessary, through verification on-site.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 9.5 Certification decision**  **9.5.1 General** | |
| **Clause 9.5.1.1**  *Does the certification body ensure that the persons or committees that make the decisions for granting certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits?*    *Does the individual(s) appointed to conduct the certification decision have appropriate competence?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.5.1.2**  *Is the person(s) [excluding members of committees (see clause 6.1.4)] assigned by the certification body to make a certification decision employed by, or under legally enforceable arrangement with either the certification body or an entity under the organizational control of the certification body?*  *Does the certification body’s organizational control has one of the following:*  *a) Whole or majority ownership of another entity by the certification body;*   1. *Majority participation by the certification body on the board of directors of another entity;* 2. *A documented authority by the certification body over another entity in a network of legal entities (in which the certification body resides), linked by ownership or board of director control?*   *NOTE For governmental certification bodies, other parts of the same government can be considered to be “linked by ownership” to the certification body* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.5.1.3**  *Does the persons employed by, or under contract with, entities under organizational control fulfil the same requirements of this part of ISO/IEC 17021 as persons employed by, or under contract with, the certification body?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.5.1.4**  *Does the certification body record each certification decision including any additional information or clarification sought from the audit team or other source?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.5.2 Actions prior to making a decision** | |
| *Does the certification body have a process to conduct an effective review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including that:*   1. *the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;* 2. *it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for any major nonconformities;* 3. *It has reviewed and accepted the client’s plan for correction and corrective action for any minor nonconformities?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.5.2 Certification decision** | |
| *Is the certification decision shall be based on the certification recommendation of the audit team as provided in their certification audit report?*  *Certification shall not be granted to the client until there is sufficient evidence to demonstrate that arrangements for management reviews and internal ISMS audits have been implemented, are effective and will be maintained*. | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.5.3 Information for granting initial certification** | |
| **Clause 9.5.3.1**  *Does the information provided by the audit team to the certification body for the certification decision include, as a minimum,*  *a) the audit report;*  *b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client;*   1. *confirmation of the information provided to the certification body used in the application review (see 9.1.2);* 2. *confirmation that the audit objectives have been achieved;* 3. *a recommendation whether or not to grant certification, together with any conditions or observations?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.5.3.2**  *If the certification body is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, does the certification body conduct another stage2 prior to recommending certification?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.5.3.3**  *When a transfer of certification is envisaged from one certification body to another, Does the accepting certification body have a process for obtaining sufficient information in order to take a decision on certification?*  *Note Certification schemes can have specific rules regarding the transfer of certification* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.5.4 Information for granting recertification** | |
| *Does the certification body make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 9.6 Maintaining certification**  **9.6.1 General** | |
| *Does the certification body maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard?*    *Does the certification body maintain a client's certification based on a positive conclusion by the audit team leader without further independent review, provided that:*   1. *for any major nonconformity or other situation that may lead to suspension or withdrawal of certification, the certification body has a system that requires the audit team leader to report to the certification body the need to initiate a review by appropriately competent personnel (see 7.2.8), different from those who carried out the audit, to determine whether certification can be maintained,* 2. *competent personnel of the certification body monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.2 Surveillance activities**  **9.6.2.1 General** | |
| **Clause 9.6.2.1.1**  *Does the certification body develop its surveillance activities so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and take into account changes to its certified client and its management system?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.2.1.2**  *Do surveillance activities include on-site audits assessing the certified client's management system's fulfilment of specified requirements with respect to the standard to which the certification is granted?*  *Do other surveillance activities include:*   1. *enquiries from the certification body to the certified client on aspects of certification,* 2. *reviewing any client's statements with respect to its operations (e.g. promotional material, website),* 3. *requests to the client to provide documents and records (on paper or electronic media), and* 4. *other means of monitoring the certified client's performance.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **9.6.2.2 Surveillance audit** | |
| *Are surveillance audits on-site audits which are planned together with the other surveillance activities so that the certification body can maintain confidence that the certified management*  *system continues to fulfil requirements between recertification audits?*  *Does the surveillance audit for the relevant management system include:*   1. *internal audits and management review;* 2. *a review of actions taken on nonconformities identified during the previous audit;* 3. *complaints handling;* 4. *effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system(s);* 5. *progress of planned activities aimed at continual improvement,* 6. *continuing operational control;* 7. *review of any changes;* 8. *use of marks and/or any other reference to certification?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.6.2.2** | |
| *Are surveillance audit procedures a subset of those for the certification audit of the client’s ISMS as described in this document?*  *The purpose of surveillance is to verify that the approved ISMS continues to be implemented, to consider the implications of changes to the ISMS initiated as a result of changes in the client’s operational practices and to confirm continued compliance with certification requirements.*  *Do surveillance audit programmes cover at least:*   1. *the ISMS maintenance elements such as information security risk assessment and control maintenance, internal ISMS audit, management review and corrective action;* 2. *communications from external parties as required by the ISMS standard ISO/IEC 27001 and other documents required for certification;* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.6.2.3** | |
| *As a minimum, do every surveillance audit by the certification body shall review the following:*   1. *the effectiveness of the ISMS with regard to achieving the objectives of the client’s information security policy;* 2. *the functioning of procedures for the periodic evaluation and review of compliance with relevant information security legislation and regulations;* 3. *changes to the controls determined, and resulting changes to the SoA;* 4. *implementation and effectiveness of controls according to the audit programme* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.6.2.4** | |
| *Is the certification body able to adapt its programme of surveillance activities to reflect the information security issues related to risks and impacts on the client and justify this programme?*  *Surveillance audits may be combined with audits of other management systems. Do the audit reports clearly indicate the aspects relevant to each management system?*  *During surveillance audits, do certification bodies check the records of appeals and complaints brought before the certification body?*  *Where any nonconformity or failure to meet the requirements of certification is revealed, do certification bodies check that the client has investigated its own ISMS and procedures and has taken appropriate corrective action?*  *Does the surveillance report contain, in particular, information on clearing of nonconformities revealed previously and the version of the SoA and important changes from the previous audit?*  *As a minimum, do the reports arising from surveillance build up to cover in totality the requirements of 9.6.2.2 and 9.6.2.3 above?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.6.3 Recertification**  **9.6.3.1 Recertification audit planning** | |
| **Clause 9.6.3.1.1**  *Is the purpose of the recertification audit to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification?*  *Are recertification audits planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document?*  *Is this planned and conducted in due time to enable for timely renewal before the certificate expiry date?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **9.6.3.1.2**  *Does the recertification audit include the review of previous surveillance audit reports?*  *Does the recertification audit consider the performance of the management system over the most recent certification cycle?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.3.1.3**  *Do recertification audit activities have a stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating (e.g. changes to legislation)?*  *NOTE Such changes can occur at any time during the certification cycle and the certification body might need to perform a special audit (see clause 9.6.4), which might or might not be a two-stage audit.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 27006-1:2024**  **Clause 9.6.3.2 Recertification audits** | |
| *Are re-certification audit procedures a subset of those for concerning the initial certification audit of the client’s ISMS as described in this document?*  *Is the time allowed to implement corrective action consistent with the severity of the nonconformity and the associated information security risk?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO 17021-1:2015**  **Clause 9.6.3.2 Recertification audit**  **9.6.3.2.1** | |
| *Does the recertification audit include an on-site audit that addresses the following:*   1. *the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;* 2. *demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;* 3. *The effectiveness of the management system with regard to achieving the certified client’s objectives and the intended results of the respective management system(s)?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.3.2.2**  *Does the certification body define time limits for correction and corrective action for any major nonconformity?*  *Are these actions implemented and verified prior to the expiration of certification?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.3.2.3**  *When recertification activities are successfully completed prior to the expiry date of the existing certification, is the expiry date of the new certification based on the expiry date of the existing certification?*  *Is the issue date on a new certificate on or after the recertification decision?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.3.2.4**  *If the certification body has not completed the recertification audit or the certification body is unable to verify the implementation of corrections and corrective actions for any major nonconformity (see Clause 9.5.2.1) prior to the expiry date of the certification, is recertification not recommended and the validity of the certification not extended?*  *Is the client informed and the consequences explained?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.3.2.5**  *Following expiration of certification, can the certification body restore certification within 6 months provided that the outstanding recertification activities are completed; otherwise is stage 2 at least conducted?*  *Is the effective date on the certificate on or after the recertification decision and the expiry date based on prior certification cycle?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.4 Special audits**  **9.6.4.1 Expanding scope** | |
| *Does the certification body, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted?*  *Are special audits conducted in conjunction with a surveillance audit?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.4.2 Short-notice audits** | |
| *Does the certification body conduct audits of certified clients at short notice or unannounced top investigate complaints, or in response to changes, or as follow up on suspended clients?*  *In the case of short-notice audits does the certification body:*   1. *describe and make known in advance to the certified clients (e.g. in documents as described in 8.5.1) the conditions under which these short notice visits are to be conducted, and* 2. *exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.5 Suspending, withdrawing or reducing the scope of certification** | |
| **Clause 9.6.5.1**  *Does the certification body have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification, and subsequent actions by the certification body?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.5.2**  *Does the certification body suspend certification in cases when, for example,*   * *the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,* * *the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or* * *the certified client has voluntarily requested a suspension?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.5.3**  *Is the client’s management system certification temporarily invalid under suspension?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.5.4**  *Does the certification body restore the suspended certification if the issue that has resulted in the suspension has been resolved?*  *Does failure to resolve the issues that have resulted in the suspension in a time established by the certification body result in withdrawal or reduction of the scope of certification?*  *NOTE In most cases, the suspension would not exceed 6 months.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.6.5.5**  *Does the certification body reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification?*  *Is any such reduction in line with the requirements of the management system standard used for certification?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 9.7 Appeals** | |
| **Clause 9.7.1**  *Does the certification body have a documented process to receive, evaluate and make decisions on appeals?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.7.2**  *Is the certification body responsible for all decisions at all levels of the appeals-handling process?*  *Does your certification body ensure that the persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.7.3**  *Does the certification body ensure submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.7.4**  *Does the appeals-handling process include at least the following elements and methods:*   1. *an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals;* 2. *tracking and recording appeals, including actions undertaken to resolve them;* 3. *ensuring that any appropriate correction and corrective action are taken?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.7.5**  *Is the certification body receiving the appeal responsible for gathering and verifying all necessary information to validate the appeal?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.7.6**  *Does the certification body acknowledge receipt of the appeal?*  *Does the certification body provide the appellant with progress reports and the result of the appeal?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.7.7**  *Is the decision to be communicated to the appellant made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.7.8**  *Does the certification body give formal notice to the appellant of the end of the appeals handling process?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 9.8 Complaints** | |
| **Clause 9.8.1**  *Is the certification body responsible for all decisions at all levels of the complaints-handling process?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.8.2**  *Does submission, investigation and decision on complaints not result in any discriminatory actions against the complainant?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.8.3**  *Upon receipt of a complaint, does the certification body confirm whether the complaint relates to certification activities that it is responsible for?*  *If so, does the certification body deal with it?*  *If the complaint relates to a certified client, does examination of the complaint consider the effectiveness of the certified management system?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.8.4**  *Is any valid complaint about a certified client referred by the certification body to the certified client in question at an appropriate time?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: (*To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.8.5**  *Does the certification body have a documented process to receive, evaluate and make decisions on complaints?*  *Is this process subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.8.6**  *Does the complaints-handling process include at least the following elements and methods:*   1. *an outline of the process for receiving, validating, investigating the complaint, and for deciding what actions are to be taken in response to it;* 2. *tracking and recording complaints, including actions undertaken in response to them;* 3. *ensuring that any appropriate correction and corrective action are taken?*   *NOTE ISO 10002 provides guidance for complaints handling.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.8.7**  *Is the certification body receiving the complaint responsible for gathering and verifying all necessary information to validate the complaint?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.8.8**  *Whenever possible, does the certification body acknowledge receipt of the complaint?* *Does the certification body provide the complainant with progress reports and the outcome?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.8.9**  *Is the decision to be communicated to the complainant made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.8.10**  *Whenever possible, does the certification body give formal notice of the end of the complaints-handling process to the complainant?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by the AB)* | |
| **Clause 9.8.11**  *Does the certification body determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution made public?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **ISO/IEC 17021-1:2015**  **Clause 9.9 Clients records** | |
| **Clause 9.9.1**  *Does the certification body maintain records on the audit and other certification activities for all clients, including all organizations that submitted applications, and all organizations audited, certified, or with certification suspended or withdrawn?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.9.2**  *Do records on certified clients include the following:*  *a) application information and initial, surveillance and recertification audit reports;  b) certification agreement;*   1. *justification of the methodology used for sampling of sites, as appropriate;* \* *Methodology of sampling includes the sampling employed to audit the specific management system and/or to select sites in the context of multi-site audit*. 2. *justification for auditor time determination (see Clause 9.1.4);* 3. *verification of correction and corrective actions;* 4. *records of complaints and appeals, and any subsequent correction or corrective actions;* 5. *committee deliberations and decisions, if applicable;* 6. *documentation of the certification decisions;* 7. *certification documents, including the scope of certification with respect to product, process or service, as applicable;* 8. *related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts; and* 9. *audit programmes?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.9.3**  *Does the certification body keep the records on applicants and clients secure to ensure that the information is kept confidential?*  *Are records transported, transmitted or transferred in a way that ensures that confidentiality is maintained?* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |
| **Clause 9.9.4**  *Does the certification body have a documented policy and documented procedures on the retention of records?*  *Are records retained for the duration of the current cycle plus one full certification cycle?*  *NOTE In some jurisdictions, the law stipulates that records need to be maintained for a longer time period.* | |
|  | |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* | |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | | |

**Remarks from Assessor:**

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**Date Signature**

**The Assessor has performed review of the documentation of the certification body prior to the assessment *(if applicable)*.**

**Verified by:**

**Name:………………………Designation:…………..Signature:………………… Date:………**