Certification Regulation for Information Security MS

Standard or Certification scheme:	**ISO 27001:2013**	**Accreditation Standard:**	**ISO 17021-1:2015**

Certification Cycle:

The certificate is valid for three years. To maintain the validity of the certificate, annual surveillance audits shall be carried out. Before the expiration date of the certificate, a recertification audit is conducted in order to renew the validity of the certificate for the next three year cycle.

Certification audit is conducted in two stages. Stage 1 concerns the control of the basic and required by the standard documentation. The audit documentation includes a review of the Risk Assessment methodology and results of its implementation. Stage 1 may not be conducted in the client's premises. Stage 2 is an onsite audit and concerns the audit of the existence, operation and efficiency of the management system. The interval between stage one and stage 2 cannot exceed 6 months. If this period elapses or significant changes occur that affect the MS, stage 1 must be repeated. Stage 1 audit findings may lead to postponement or cancellation of Stage 2.

Audit planning and time table. Surveillance audit process has to be completed annually, with due date the date of the certification decision after the Initial Certification audit. Correspondingly the re-certification audit process has to be completed within the same time frame. Example:

Certification Decision	**1st Surveillance audit**	**2nd Surveillance**	**Re-certification audit**
15/7/2020	*15/7/2021*	*15/7/2022*	*15/7/2023*

In case of exceeding time limits certificate is suspended for six months and after this period finally withdrawn.

The valid Statement of Applicability is stated on the certificate and is reviewed during the audit. The client during the operation of the MS and the certificate maintenance is obliged to inform TAH for any changes that may occur to the Statement of Applicability. In any case, changes to the Statement of Applicability leads to cancellation of the previous certificate and issuance of a new one. Before the issuance of the new certificate, TAH shall consider whether an audit should be conducted in order to review changes. In general, special audits are required in cases where new control points of the standard (Annex A), are included to the client's MS as it will appear in the Statement of Applicability.

In recertification audits, a stage 1 may be conducted when there have been significant changes in the management system or in the framework within which it operates (eg changes in legislation), and the client.

Audit Evaluation Criteria / Characterization of Non Conformities:	**1:** Full conformity	**3:** Non Conformity (-ies): Correction through the submission of Documents
	2: (O): Points of Improvement, the effectiveness of the corrective actions are evaluated during the next audit	**4:** Non Conformity (-ies): Correction through Re-audit
Time allowed to close Non	**Certification Audit:** 2 months after the completion of stage 2. **Surveillance Audit:** 2 months after the date of the audit or no later than the due date of	

Conformities:	the Certification Decision **Recertification Audit:** 2 months after the date of the audit or no later than the due date of the Certification Decision
Contractual Duration:	The duration of the service and the contractual obligation comes into force upon signature by both parties (TÜV AUSTRIA and Client Organization) and is valid for (3) three years of the relevant offer in cases of initial certification or re - certification. In case of Accredited Certification Transfer, the duration covers the validity period of the transferred certificate. In case of transition to a new version of the standard, the duration of contractual obligation is valid until the certification expiry date mentioned on the relative paragraph of the regulation.