

**ISO/IEC 27007:2017**



**NBN ISO/IEC 27007:2018**



---

**Information technology - Security techniques - Guidelines for information security management systems auditing**

---

Valid from 27-11-2018

Replaces NBN ISO/IEC 27007:2014

ICS: 03.100.70, 35.030



---

---

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

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





## **COPYRIGHT PROTECTED DOCUMENT**

© ISO/IEC 2017, Published in Switzerland

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

ISO copyright office  
Ch. de Blandonnet 8 • CP 401  
CH-1214 Vernier, Geneva, Switzerland  
Tel. +41 22 749 01 11  
Fax +41 22 749 09 47  
copyright@iso.org  
www.iso.org

# Contents

Page

<b>Foreword</b> .....	<b>v</b>
<b>Introduction</b> .....	<b>vi</b>
<b>1 Scope</b> .....	<b>1</b>
<b>2 Normative references</b> .....	<b>1</b>
<b>3 Terms and definitions</b> .....	<b>1</b>
<b>4 Principles of auditing</b> .....	<b>1</b>
<b>5 Managing an audit programme</b> .....	<b>1</b>
5.1 General.....	1
5.1.1 IS 5.1 General.....	2
5.2 Establishing the audit programme objectives.....	2
5.2.1 IS 5.2 Establishing the audit programme objectives.....	2
5.3 Establishing the audit programme.....	2
5.3.1 Role and responsibilities of the person managing the audit programme.....	2
5.3.2 Competence of the person managing the audit programme.....	2
5.3.3 Establishing the extent of the audit programme.....	2
5.3.4 Identifying and evaluating audit programme risks.....	3
5.3.5 Establishing procedures for the audit programme.....	3
5.3.6 Identifying audit programme resources.....	3
5.4 Implementing the audit programme.....	4
5.4.1 General.....	4
5.4.2 Defining the objectives, scope and criteria for an individual audit.....	4
5.4.3 Selecting the audit methods.....	4
5.4.4 Selecting the audit team members.....	5
5.4.5 Assigning responsibility for an individual audit to the audit team leader.....	5
5.4.6 Managing the audit programme outcome.....	5
5.4.7 Managing and maintaining audit programme records.....	5
5.5 Monitoring the audit programme.....	5
5.6 Reviewing and improving the audit programme.....	5
<b>6 Performing an audit</b> .....	<b>5</b>
6.1 General.....	5
6.2 Initiating the audit.....	5
6.2.1 General.....	5
6.2.2 Establishing initial contact with the auditee.....	5
6.2.3 Determining the feasibility of the audit.....	6
6.3 Preparing audit activities.....	6
6.3.1 Performing document review in preparation for the audit.....	6
6.3.2 Preparing the audit plan.....	6
6.3.3 Assigning work to the audit team.....	6
6.3.4 Preparing work documents.....	6
6.4 Conducting the audit activities.....	7
6.4.1 General.....	7
6.4.2 Conducting the opening meeting.....	7
6.4.3 Performing document review while conducting the audit.....	7
6.4.4 Communicating during the audit.....	7
6.4.5 Assigning roles and responsibilities of guides and observers.....	7
6.4.6 Collecting and verifying information.....	7
6.4.7 Generating audit findings.....	8
6.4.8 Preparing audit conclusions.....	8
6.4.9 Conducting the closing meeting.....	8
6.5 Preparing and distributing the audit report.....	8
6.5.1 Preparing the audit report.....	8
6.5.2 Distributing the audit report.....	8

## ISO/IEC 27007:2017(E)

6.6	Completing the audit .....	8
6.7	Conducting audit follow-up.....	8
<b>7</b>	<b>Competence and evaluation of auditors.....</b>	<b>8</b>
7.1	General.....	8
7.2	Determining auditor competence to fulfil the needs of the audit programme.....	9
7.2.1	General.....	9
7.2.2	Personal behaviour.....	9
7.2.3	Knowledge and skills .....	9
7.2.4	Achieving auditor competence .....	9
7.2.5	Audit team leader.....	10
7.3	Establishing the auditor evaluation criteria.....	10
7.4	Selecting the appropriate auditor evaluation method.....	10
7.5	Conducting auditor evaluation.....	10
7.6	Maintaining and improving auditor competence.....	10
	<b>Annex A (informative) Guidance for ISMS auditing practice .....</b>	<b>11</b>
	<b>Bibliography .....</b>	<b>41</b>

## Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

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

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

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

For an explanation on the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: [www.iso.org/iso/foreword.html](http://www.iso.org/iso/foreword.html).

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

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

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

- [Annex A](#) has been completely reworked to align to ISO/IEC 27001:2013;
- the main part of this document has been aligned with ISO/IEC 27001:2013.

**ISO/IEC 27007:2017(E)****Introduction**

This document provides guidance on:

- a) the management of an information security management system (ISMS) audit programme;
- b) the conduct of internal and external ISMS audits in accordance with ISO/IEC 27001;
- c) the competence and evaluation of ISMS auditors.

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

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

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

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

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



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

## 1 Scope

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

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

## 2 Normative references

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

ISO 19011:2011, *Guidelines for auditing management systems*

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

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

## 3 Terms and definitions

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

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

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

## 4 Principles of auditing

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

## 5 Managing an audit programme

### 5.1 General

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