|  |  |  |
| --- | --- | --- |
| Client: |  |  |
| Lead Auditor: | -/- | Certificate no.: | -/- |
| Auditor (Expert): | -/- |  |
| Audit Representative: |  | Audit Date: | -/- |
| [x]  Certification Audit | [ ]  1. Surveillance Audit | [ ]  2. Surveillance Audit | [ ]  Recertification Audit |
| [ ]  Pre Audit | [ ]  Post implementation Audit | [ ]  Extension Audit | [ ]   |
| [ ]  EN ISO 9001 | [ ]  ISO 14001 | [ ]  OHSAS 18001 | [x]  ISO/IEC 27001:2013 |
| [ ]  IT security catalogue according to §11 paragraph 1a EnWG on the basis of ISO/IEC 27006 |
| Economic sector: |  | Effective no. of employees: |  |
| Scope: | [ ]  see ODS  | [ ]  see certificates text [ ]  no changes  |

**INFORMATION ABOUT THE COMPANY**

|  |  |
| --- | --- |
| Address |  |
| Phone |  | Fax |  |
| Web |  |

|  |  |
| --- | --- |
| Function | General Management |
| Name |  |
| Phone |  | Fax |  |
| e-Mail |  |

|  |  |
| --- | --- |
| Function | MS-Officer |
| Name |  |
| Phone |  | Fax |  |
| e-Mail |  |

|  |  |
| --- | --- |
| Function | Responsible person for offer negotiation |
| Name |  |
| Phone |  | Fax |  |
| e-Mail |  |

##### **Employees**

|  |  |
| --- | --- |
| Total Number of employees |  |
| Number of shifts |  | Employees/Shift |  |
| Effective number of employees  |  |
| Employees within ISMS Scope |  |

##### **Sites**

|  |  |
| --- | --- |
| Number of permanently occupied locations(Locations staffed at least on regular working days) |  |
| Addresses of permanently occupied locations |  |
|  |
|  |
|  |
| Number of permanently unoccupied locations |  |
| Please summarize by appropriate grouping. When forming groups, the relevance of the locations for the overall network as well as the possibility of remote impact via ICT on this location must be taken into account. |
| Number of groups |  |
| Name of the formed groups |  |
|  |
|  |
|  |

# **Products / Services/ Businesses**

|  |
| --- |
|  |

## expected scope of certification / certificate text

|  |
| --- |
|  |

## External consultant

|  |  |
| --- | --- |
| Name |  |
| Company |  |
| Address |  |
| Phone |  | Fax |  |
| e-Mail |  |
| Web |  |

|  |  |
| --- | --- |
| Notes:  |  |
|  |

## information on it infrastructure, competence of it representatives, specific risks RELATED TO DATA PROTECTION PRIVACY, SPECIFIC CLAIMS DUE TO LEGAL AND REGULATORY REQUIREMENTS.

|  |
| --- |
| Assets in the scope of the ISMS are the information processed in the processes of the AIM. In addition, the use of IT services is within the scope.Number of server systems: Operating systems of the server: Number of clients:Operating systems of the clients: Used databases: Used software products: IT / DC locations: Service provider for the IT operation:Additional: |

**Calculation of complexity**

Please mark the applicable category recognizably.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Low** | **Medium** | **High** |
| **Complexity of the ISMS:** | • Only little sensitive or confidential information, low availability requirements• Few critical assets (in terms of CIA)• Only one key business process withfew interfaces and few business units involved | • Higher availability requirementsor some sensitive / confidentialinformation• Some critical assets• 2–3 simple business processeswith few interfaces and few business units involved. | • Higher amount of sensitive or confidentialinformation (e.g. health,personally identifiable information,insurance, banking) or high availabilityrequirements• Many critical assets• More than 2 complex processeswith many interfaces and business units involved. |
| **The type(s) of business performed within scope of the ISMS** | Low risk business without regulatoryrequirements | High regulatory requirements | High risk business with (only) limitedregulatory requirements |
| **Previously demonstrated performance of the ISMS** | • Recently certified• Not certified but ISMS fully implementedover several audit andimprovement cycles, including documentedinternal audits, managementreviews and effective continualimprovement system | • Recent surveillance audit• Not certified but partially implementedISMS: Some managementsystem tools are available and implemented;some continual improvementprocesses are in place but partiallydocumented | • No certification and no recent audits• ISMS is new and not fully established(e.g. lack of management system specificcontrol mechanisms, immaturecontinual improvement processes,ad hoc process execution) |
| **Extent and diversity of technology utilized in the implementation of the various components of the ISMS** | • Highly standardized environmentwith low diversity (few IT-platforms,servers, operating systems, databases,networks, etc.) | • Standardized but diverse IT platforms,servers, operating systems,databases, networks | • High diversity or complexity of IT(e.g. many different segments of networks,types of servers or databases,number of key applications) |
| **Extent of outsourcing and third party arrangements used within the scope of the ISMS** | • No outsourcing and little dependencyon suppliers, or• Well-defined, managed and monitoredoutsourcing arrangements• Outsourcer has a certified ISMS• Relevant independent assurancereports are available | • Several partly managed outsourcingarrangements | • High dependency on outsourcingor suppliers with large impact onimportant business activities, or• Unknown amount or extent of outsourcing,or• Several unmanaged outsourcingarrangements |
| **Extent of information system development** | • No in-house system development• Use of standardized software platforms | • Use of standardized software platformswith complex configuration/parameterization• (Highly) customized software• Some development activities(in-house or outsourced) | • Extensive internal software developmentactivities with several ongoingprojects for important businesspurpose |
| **Number of sites and number of Disaster Recovery (DR) sites** | • Low availability requirements andno or one alternative DR site | • Medium or High availability requirementsand no or one alternative DR site | • High availability requirements e.g.24/7 services• Several alternative DR sites• Several Data Centers |
| **For surveillance or re-certification audit: The amount and extent of change relevant to the ISMS** | • No changes since last re-certificationaudit | • Minor changes in scope or SoA of ISMS, e.g. some policies, documents, etc.• Minor changes in the factors above | • Major changes in scope or SoA ofISMS, e.g. new processes, new businessunits, areas, risk assessmentmanagement methodology, policies,documentation, risk treatment• Major changes in the factors above |

# **Does your company have ISMS-related information that you cannot make available to the team of auditors, e.g. due to confidentiality?**

[ ]  No

[ ]  Yes

# If yes, please describe what information is involved and give a reason.

|  |
| --- |
|  |

**To be filled in for multiple locations:**

Ensure and consider the following points for sampling at multiple sites:

|  |  |  |
| --- | --- | --- |
| Fulfilled | Yes | No |
| All sites are subject to the same ISMS, which is centrally managed and audited | [ ]  | [ ]  |
| All sites are part of the internal ISMS audit program | [ ]  | [ ]  |
| All locations ae included in the client's ISMS Management Review Program | [ ]  | [ ]  |
| The group formation is plausible | [ ]  | [ ]  |
| Results of the internal audits at all locations | [ ]  | [ ]  |
| Results of the management review | [ ]  | [ ]  |
| Size of the locations | [ ]  | [ ]  |
| Different business purposes of the sites | [ ]  | [ ]  |
| Complexity of the ISMS at the sites | [ ]  | [ ]  |
| Different performance of work | [ ]  | [ ]  |
| Different performance of activities | [ ]  | [ ]  |
| Different interpretation and implementation of controls | [ ]  | [ ]  |
| Interacting with critical information systems or processing sensitive information systems with sensitive information | [ ]  | [ ]  |
| Deviating legal requirements | [ ]  | [ ]  |
| Geographical and cultural aspects | [ ]  | [ ]  |
| Risk situation of the locations | [ ]  | [ ]  |
| Information security incidents at the sites | [ ]  | [ ]  |

**FOR THE ACCURACY OF THE INFORMATION**

|  |  |  |
| --- | --- | --- |
|  |  |  |
| Name |  | Date |