

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification

BCMS ; ISMS ;

SMS

Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS ; ISMS ;

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1. Zweck	1 Purpose
	<p>The requirements from [A00VA02] apply Additionally: Procedure A50VA02 describes the additional specific requirements which are apply for auditing and certification for BCMS, ISMS, SMS. However, the generic requirements for auditing and certification of management systems are described in A00VA02.</p>
2. Geltungsbereich	2 Scope
	<p>The requirements from [A00VA02] apply Additionally: This procedure applies to TÜV NORD CERT GmbH (TN CERT) and its auditors world wide.</p>
3. Definitionen	3 Definitions
	<p>The requirements from [A00VA02] apply Additionally: BCMS Business Continuity Management System; e.g. BS25999-2, ISO22301</p>
	<p>ISMS Information Security Management System, e.g. ISO27001</p>
	<p>SMS Service Management System, e.g.</p>

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4. Zuständigkeiten	4 Responsibilities
4.1 Zertifizierungsstellenleiter / Fachleiter	4.1 Head of Certification Body and Specialist Manager
	The requirements from [A00VA02] apply
4.2 Außenstellen	4.2 Branch Offices
	The requirements from [A00VA02] apply
4.2.1 QM-Manager	4.2.1 QM Manager
	The requirements from [A00VA02] apply
4.2.2 Verwaltung Außenstellen	4.2.2 Administration tasks in branch offices
	The requirements from [A00VA02] apply
4.3 Auditoren	4.3 Auditors
	The requirements from [A00VA02] apply
4.3.1 Technische Experten	4.3.1 Experts
	The requirements from [A00VA02] apply
4.4 Fachexperten, Übersetzer, Dolmetscher, Beobachter und Auditoren in Ausbildung	4.4 Technical experts, translators, interpreters, observers and auditors-in-training
	The requirements from [A00VA02] apply

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4.5 Auftragservice (Inland, Ausland: unselbständige Außenstellen)	4.5 Order Service (Germany, other countries: non-critical branch offices)
	The requirements from [A00VA02] apply
4.6 Zertifizierungsservice	4.6 Certification service
	The requirements from [A00VA02] apply

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5. Vorgehensweise	5 Procedure
	The requirements from [A00VA02] apply
5.1 Kundenanfrage / Angebotserstellung	5.1 Customer Inquiry / Drafting of Offer
	<p>The requirements from [A00VA02] apply Additionally: The certification body takes in account the clients management system complexity and make the selection of the audit team regarding to clients specific needs (sector specific; diversity of technology, skills and experience of auditors)</p> <p>In addition the selecting process for InfMS auditors shall ensure that each auditor:</p> <ul style="list-style-type: none">a) Has professional education or training to an equivalent level of university degree;b) Has at least four years full time practical workplace experience in information technology, of which at least two years are in a role or function relating to the relevant InfMS field;c) Has successfully completed at least five days of training, the scope of which covers InfMS audits and audit management;d) Has gained experience in the entire process of assessing information security, business continuity and/or service management to assuming responsibility for performing as an auditor. This experience should have been gained by participation in a minimum of four ISMS certification audits, including re-certification and surveillance audits, for total of at least 20 days of which at most 5 days may come from surveillance audits. The participation shall include review of documentation and risk assessment, implementation assessment and audit reporting;e) Has relevant and current experience;f) Keeps current knowledge and skills in InfMS fields and auditing up to date through continual professional development.

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	<p>Note: Technical experts shall comply with criteria a), b) and e). Note: See also [A50VA01].</p> <p>In addition to the selecting criteria of an InfMS auditor the selecting process for InfMS audit team leaders shall ensure that each audit team lead auditor:</p> <ul style="list-style-type: none">a) Has actively participated in all stages of at least three relevant InfMS audits. The participation shall include initial scoping and planning, review of documentation and risk assessments, implementation assessments and formal audit reporting.g) <p>Calculation:</p> <p>The lead auditor is responsible for the right calculated audit effort.</p> <p>For each calculation a current appendix [A00F100Appendix_ISO_27001e.doc] shall be edited. It is always the basic for the InfMS calculation. Latest for a new certification cycle (after 3 years) the [A00F100Appendix_ISO_27001e.doc] shall be committed from the audited ISMS organization.</p> <p>The InfMS calculation shall be edited with [A50F011_ACE]. [A50F011_ACE] is based on frame tables which are also part of this document; see [A50VA02] Annex A.1.</p> <p>Both, the current [A50F011_ACE] and the current [A00F100Appendix_ISO_27001e.doc] are part of the audit documentation.</p> <p>Special calculation rules of multi site sample audits are specified in [A50VA03].</p>
5.2 Auditvorbereitung	5.2 Audit Preparation
	<p>The requirements from [A00VA02] apply Additionally:</p> <p>Technical competence:</p> <p>The business sector of the organization shall be documented in [A50F011_ACE]\ATEA\EAC-field.</p>

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	<p>The ISO 9001 EAC appointment shall be documented in [A50F011_ACE]\ATEA\EAC (Standard)-field</p> <p>The technical competence shall follow the requirements of [A50VA01A1e].</p> <p>Minimum one auditor of the audit team shall have the required competence class.</p> <p>An individual reason shall be documented in [A50F011_ACE]\ATEA\comment-field in case of the competence class "High".</p> <p>Examples for a sufficient reason could be:</p> <ul style="list-style-type: none">- The auditor has an ISO 9001 appointment in the business sector.- The auditor has an appointment in an equal business branch.¹- The auditor has a special qualification.² <p>Audit time:</p> <p>Note: Between the last day of audit stage 1 and audit stage 2 should be normally 4-6 weeks duration time.</p>
5.2.1 Audit Stufe 1	5.2.1 Audit Stage 1
	<p>The requirements from [A00VA02] apply</p> <p>Additionally:</p> <p>Objective: The stage 1 audit</p> <ul style="list-style-type: none">▪ is to provide a focus for planning the stage 2 audit by gaining an understanding of the management system in the context of the client organization's policy and objectives, and, in particular, of the client organization's state of preparedness for the audit.▪ includes, but should not be restricted to, the document review. The lead auditor shall agree with the client organization when and where the document review is conducted. In every case, the document review shall be completed prior to the commencement of the stage 2 audit

¹ The reason should be documented as justification with confirmation of the InfMS specialist management.

² The reason should be documented as justification with confirmation of the InfMS specialist management.

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- is documented in a written report. A veto person shall evaluate the [audit report stage 1] and the current [A50F011_ACE] after finishing audit stage 1. The veto person should improve the audit team as the result of his evaluation if necessary. In cases of improvement the veto person shall change the related attributed in the table "ATEA" in [A50F011_ACE] and shall also add a reference in the [audit report stage 1]. After the documented approval the audit stage 2 can be started. The signed [audit report stage 1] and the current [A50F011_ACE] shall be uploaded with the other audit documentation until finishing audit stage 2 in the TN CERT audit workflow.
- to make the client organization aware of the further types of information and records that may be required for detailed examination during the stage 2 audit, if necessary.

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<p>The following documents shall be available for the stage 1 audit:</p> <ul style="list-style-type: none"> a) documented statements of the BCM policy and objectives; b) the scope of the BCMS; c) Procedure(s) of the BCMS; d) documented business impact analysis; e) the risk assessment report; f) the business continuity strategy; g) Incident response structure; h) Business continuity plans/ Incident management plans i) BCM exercising records. 	<p>The following documents shall be available for the stage 1 audit:</p> <ul style="list-style-type: none"> a) documented statements of the ISMS policy and objectives; b) the scope of the ISMS; c) procedures and controls in support of the ISMS; d) a description of the risk assessment methodology; e) the risk assessment report; f) the risk treatment plan; g) documented procedures needed by the organization to ensure the effective planning, operation and control of its information security processes 	<p>The following documents shall be available for the stage 1 audit:</p> <ul style="list-style-type: none"> a) SMS policies and objectives b) Area of application/ scope of the SMS c) Service management plan d) Documented service level agreements e) Documented processes and procedures required by the Standard f) Records required by the Standard

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	<p>and describe how to measure the effectiveness of controls;</p> <p>h) records required by this International Standard and</p> <p>i) the Statement of Applicability.</p>	
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5.2.2 Auditplanung	5.2.2 Audit planning
	<p>Additionally:</p> <p>In case of CAAT, the audit plan shall clearly indicate this by appropriate means (e.g. bold frame; bold letters; grey field; record in this audit session). CAAT shall not exceed 30% effort of the overall on-site effort.</p>
5.2.3 Audit Stufe 2	5.2.3 Audit Stage 2
	<p>Additionally:</p> <p>Objective: The objectives of the stage 2 audit are</p> <p>a) to confirm that the client organization adheres to its own policies, objectives and procedures;</p> <p>b) to confirm that the management system conforms to all the requirements of the normative standard.</p> <p>The stage 2 audit always takes place at the site(s) of the client organization. On the basis of findings documented in the stage 1 audit report, the lead auditor drafts an audit plan for the conduct of the stage 2 audit and is achieving the client organization's policy objectives.</p>

<i>BCMS</i>	<i>ISMS</i>	<i>SMS</i>
<p>The audit shall focus on the client organization's</p> <p>a) assessment of information security related risks, and that the assessments produce comparable and reproducible results;</p> <p>b) BCMS documentation</p>	<p>The audit shall focus on the client organization's</p> <p>a) assessment of information security related risks, and that the assessments produce comparable and reproducible results;</p> <p>b) ISMS documentation</p>	<p>The audit shall focus on the client organization's</p> <p>a) assessment of information security related risks, and that the assessments produce comparable and reproducible results;</p> <p>b) SMS documentation</p>

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<ul style="list-style-type: none"> a) documented statements of the BCM policy and objectives; b) the scope of the BCMS; c) procedures of the BCMS; d) documented business impact analysis; e) the risk assessment report; f) the business continuity strategy; g) Incident response structure; h) Business continuity plans/ Incident management plans i) BCM exercising records. c) selection of Business continuity plans/ Incident management plans based on the business impact analysis and risk assessment; d) reviews of the effectiveness of the BCMS and measurements of the effectiveness of the reporting and reviewing against the BCM objectives; e) internal BCM audits and management reviews; f) management responsibility for the BCM policy; g) correspondence between the business impact analysis, incident response structure and the business continuity plans and the BCM policy and objectives; h) programmes, processes, procedures, records, internal audits, and reviews of the BCMS effectiveness to ensure that these are traceable to management decisions and the BCM policy and objectives. 	<ul style="list-style-type: none"> a) documented statements of the ISMS policy and objectives; b) the scope of the ISMS; c) procedures and controls in support of the ISMS; d) a description of the risk assessment methodology; e) the risk assessment report; f) the risk treatment plan; g) documented procedures needed by the organization to ensure the effective planning, operation and control of its information security processes and describe how to measure the effectiveness of controls; h) records required by this International Standard and i) the Statement of Applicability. c) selection of control objectives and controls based on the risk assessment and risk treatment processes; d) reviews of the effectiveness of the ISMS and measurements of the effectiveness of the information security controls, reporting and reviewing against the ISMS objectives; e) internal ISMS audits and management reviews; f) management responsibility for the information security policy; g) correspondence between the selected and implemented controls, the Statement of Applicability, and the results of the risk assessment and risk treatment process, and the ISMS policy and objectives; h) implementation of controls, taking into account the 	<ul style="list-style-type: none"> a) ITSM policies and objectives b) Area of application/ scope of the SMS c) Service management plan d) Documented service level agreements e) Documented processes and procedures required by the Standard f) Records required by the Standard c) traceability of processes for fulfilment the overall service delivery processes d) interfaces and interactions of the processes which are defined in the areas <ul style="list-style-type: none"> a) service delivery processes b) relationship processes c) resolution processes d) control processes e) release processes

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	<p>organization's measurements of effectiveness of controls [see d) above], to determine whether controls are implemented and effective to achieve the stated objectives;</p> <p>i) programmes, processes, procedures, records, internal audits, and reviews of the ISMS effectiveness to ensure that these are traceable to management decisions and the ISMS policy and objectives.</p>	

5.2.4 Dokumentation des Audits

5.2.4 Audit Findings

Additionally:

General:

The audit documentation shall be edited in German or English language and can be added in other languages.

All audit documentation should be uploaded as PDF files in the TN CERT workflow.

The auditor shall use the English document form if a German document form is missing.

Ad [A00F200e - Audit_Reference_Data_Sheet]

The ISMS scope on the certificate should be documented in terms of the business of the organization and with a relation of the important core processes or products.

Ad [A00F206e - Audit plan-2]

The standard requirement references should document at least the 2nd level of the standards in the [A00F206e - Audit plan-2].

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Examples:

- ISO 27001 chapter 8.1, short "8.1" for "Operational planning and control" or
- ISO 27001 Annex A.6.1, short "A.6.1" for "Internal organization".

In some cases the lead auditor needs more information as prepared in the [audit plan stage 2] table. In this cases the audit team leader can be generated an own table. The new table shall have the same attributes as the [audit stage 2] table but can add additional columns like "audit session duration", "documented information" or "sum". An example of this annex is given with [A50F206A01e - Auditplan-2 Annex]

Ad [A00F207e - Audit report-2]

Note: It could happen that there is a difference between the findings [A00F207e - Audit report-2] and [A50F271e Annex Auditreport]. In this cases the [A00F207e - Audit report-2] is the leading and binding document.

If a status in an audit is non-conform the non-conform status shall be documented in the tables of "non-conformity" and not in other tables of the [audit report stage 1] or [audit report stage 2]. Non-conformity shall have the term "SHALL" in its non-conformity statement.

Ad [A50F271e Annex Auditreport]

The [A50F271e Annex Auditreport] shall be logged the results of each audit session in a short way. It shall be understandable which requirements are audited. The column "Audited requirements" in [A50F271e Annex Auditreport] shall be used if the audit sessions are different to the [A00F206e - Audit plan-2]. The col-

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	<p>umn "Audited requirements" in [A50F271e Annex Auditreport] shall address the main audited standard requirement-IDs on the 2nd requirement level.</p> <p>Note: It is a good practice to declare statements with "NCA", "NCB", "PI", "GP" or "CM" if they are the sources for statements in the [A00F207e - Audit report-2].</p> <p>Note: The [A50F271e Annex Auditreport] is an internal working document. This document is not for a common or customer purpose.</p> <p>Note: If there is a difference between the findings of [A50F271e Annex Audit-report] and the [A00F207e - Audit report-2] the [A00F207e - Audit report-2] is the leading and binding audit result.</p> <p>Note: Related session evidence should be declared with [] brackets or hyperlinks.</p> <p>Note: Additional to [A00F207e - Audit report-2] and [A50F271e Annex Auditreport] the auditor may have handwriting notes, customer screenshots or other evidence like customer documents or reports. These evidences shall be archived in special session folder. The auditor shall provide these documents to the veto person if the veto person requests the evidence.</p> <p>Note: Internal Comments from the auditor should be declared in { } brackets.</p>
5.3 Zertifikaterteilung und Überwachung	5.3 Certificate Issue and Surveillance
5.3.1 Zertifikaterteilung	5.3.1 Certificate Issue
	<p>The requirements from [A00VA02] apply Additionally: Evaluation of the audit results: Each audit shall be evaluated from a veto person. The evaluation result shall be</p>

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	documented with [A00F251e - Release protocol] and if necessary additionally with a release protocol annex, see [A50F251A1e AnnRelPTC]. The certification body which takes the decision on granting certification should not normally overturn a negative recommendation of the audit team, see [audit report]. If such a situation does arise, the certification body document and justify the basis for the decision to overturn the recommendation in the release protocol, [A00F251e - Release protocol] and/or if necessary the release protocol annex, [A50F251A1e AnnRelPTC].
5.3.2 Zertifikate	5.3.2 Certificates
	The requirements from [A00VA02] apply
5.3.3 Überwachungsaudit	5.3.3 Surveillance Audit

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During surveillance audits the following issues/ point/ documents SHALL be assessed: 1. the system maintenance elements internal BCM audit, management review 2. the effectiveness of the BCMS with regard to achieving the objectives of the client organization's BCM policy; 3. the functioning of procedures for the periodic evaluation and review of compliance with relevant legislation and regulations; 4. action taken on nonconformities identified during the last audit. 5. Progress of planned activities aimed at continual improvement 6. Continuing operational control	During surveillance audits the following issues/ point/ documents SHALL be assessed: 1. the system maintenance elements internal ISMS audit, management review 2. the effectiveness of the ISMS with regard to achieving the objectives of the client organization's information security policy; 3. the functioning of procedures for the periodic evaluation and review of compliance with relevant information security legislation and regulations; 4. action taken on nonconformities identified during the last audit. 5. Progress of planned activities aimed at continual improvement	During surveillance audits the following issues/ point/ documents SHALL be assessed: 1. the system maintenance elements internal SMS audit, management review 2. the effectiveness of the SMS with regard to achieving the objectives of the client organization's SMS policy; 3. the functioning of procedures for the periodic evaluation and review of compliance with relevant service level agreements; 4. action taken on nonconformities identified during the last audit. 5. Progress of planned activities aimed at continual improvement 6. Continuing operational control

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<p>7. Review of any changes 8. Use of marks and/or other reference to certification 9. Treatment of complaints</p> <p>Additionally the following issues/ point/ documents SHOULD be considered:</p> <ol style="list-style-type: none"> 1. documents required for certification: <ol style="list-style-type: none"> a) documented statements of the BCM policy and objectives; b) the scope of the BCMS; c) Procedure(s) of the BCM; d) documented business impact analysis; e) the risk assessment report; f) the business continuity strategy; g) Incident response structure; h) Business continuity plans/ Incident management plans i) BCM exercising records. 2. changes to the documented system; 3. areas subject to change; 4. selected elements of applicable BCM Standard, e.g. the system maintenance elements which are preventive and corrective action 5. other selected areas as appropriate. 	<p>6. Continuing operational control 7. Review of any changes 8. Use of marks and/or other reference to certification 9. Treatment of complaints</p> <p>Additionally the following issues/ point/ documents SHOULD be considered:</p> <ol style="list-style-type: none"> 1. communications from external parties as required by the ISMS standard ISO/IEC 27001 and other documents required for certification: <ol style="list-style-type: none"> a) documented statements of the ISMS policy and objectives; b) the scope of the ISMS; c) procedures and controls in support of the ISMS; d) a description of the risk assessment methodology; e) the risk assessment report; f) the risk treatment plan; g) documented procedures needed by the organization to ensure the effective planning, operation and control of its information security processes and describe how to measure the effectiveness of controls; h) records required by this International Standard; and i) the Statement of Applicability. 2. changes to the documented system; 3. areas subject to change; 4. selected elements of ISO/IEC 27001, e.g. the system maintenance elements which are preventive 	<p>7. Review of any changes 8. Use of marks and/or other reference to certification 9. Treatment of complaints</p> <p>Additionally the following issues/ point/ documents SHOULD be considered:</p> <ol style="list-style-type: none"> 1. documents required for certification: <ol style="list-style-type: none"> a) documented statements of the SMS policy and objectives; a) SMS policies and objectives b) Area of application/ scope of the SMS c) Service management plan d) Documented service level agreements e) Documented processes and procedures required by the Standard f) Records required by the Standard. 2. changes to the documented system; 3. areas subject to change; 4. selected elements of ISO 20000-1, e.g. the system maintenance elements which are preventive and corrective action 5. other selected areas as appropriate.

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	and corrective action and selected controls and controls objectives 5. other selected areas as appropriate. 6. information security issues related threats to assets, vulnerabilities and impacts on to the client organization and justify this programme.	

	The requirements from [A00VA02] apply Additionally: Surveillance report shall <ul style="list-style-type: none"> ▪ contain in particular, information on clearing of nonconformities revealed previously. ▪ reports arising from surveillance should build up to cover the client's risk analysis for combined audits clearly indicate the aspects relevant to each management system.
5.3.4 Re-Zertifizierungsaudit	5.3.4 Re-Certification audit
	The requirements from [A00VA02] apply Nonconformities, which are found to exist, shall be effectively corrected within an agreed time. The time allowed to implement corrective action shall be consistent with <ul style="list-style-type: none"> ▪ the severity of the nonconformity ▪ and the risk to assurance of product or services of the client organization meeting specified requirements. If corrective action is not made within time agreed <ul style="list-style-type: none"> ▪ the scope of certification will be reduced ▪ or the certificate will be suspended ▪ or the certificate will be withdrawn.
5.3.5 Erweiterungsaudit	5.3.5 Extension / Reduction audit

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	<p>The requirements from [A00VA02] apply Additionally: Before and during surveillance activities special consideration is carried out for clients organization with a certified MS for</p> <ul style="list-style-type: none"> ▪ major modifications to its system ▪ or other changes which could affect the basis of certification. <p>An appropriate assessment of MS documents (see stage 1) shall be considered.</p>
5.3.6 Übernahme von Zertifikaten anderer Zertifizierungsstellen	5.3.6 Transfer of certificates from other Certification Bodies
	The requirements from [A00VA02] apply
5.3.6 Audits aus besonderem Anlass	5.3.6 Special audits
	<p>The requirements from [A00VA02] apply See [A00VA02] ch. 5.3.5 extention audit and 5.3.6 short-notice audits.</p>
5.4 Zertifizierung von Unternehmen mit mehreren Standorten	5.4 Multiple sites certification
	<p>The requirements from [A00VA02] apply Additionally: Described in procedure A50VA03 “Group/Matrix Certification”.</p>

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification BCMS;
 Spezifische Anforderungen zur Zertifizierung Managementsysteme BCMS;

ISMS; SMS
 ISMS; SMS



6. Mitgeltende Unterlagen		6 Applicable Documents
A00VA01		Anforderungen an und Berufung von Auditoren
A00VA03	Multisite-Zertifizierungen	Requirements for and appointment of auditors
	Interessentenfragebogen	Multi-site Certification
	Kalkulation des Auditaufwandes / Auditprogramm	Questionnaire for potential customers
	ATEA / Auditprogramm (Ausland)	Calculation of audit effort / Audit programme
	Auditprotokoll	ATEA / Audit programme (abroad)
	Bewertung der Zertifizierungsperiode (in der Übergangszeit bis 2015)	Audit Protocol
	Auditplan	Evaluation of the certification period (in the transition time to 2015)
	Bericht über das Audit Stufe 1	Audit plan
	Auditbericht Stufe 2	Report - Stage 1 audit
	Nichtkonformitätenmanagement	Report - Stage 2 audit
	Bestellung Zertifikate	Nonconformity management
	Freigabeprotokoll	Certificate order form
	Handschriftliche Aufzeichnungen	Audit release protocol
	Freigabe von Auditteam und Auditaufwand	Handwritten notes
	Zertifikat/Untertzertifikat und Anweisung zur Beschriftung	Audit team and audit time approval
A50VA01	Anforderungen an und Berufung von Auditoren	Certificate/Sub-certificate and instructions for wording
A50VA03	Verbundzertifizierungen/Group Certification	Requirements for and appointment of auditors

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification

BCMS;

ISMS; SMS

Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;

ISMS; SMS



	Interessentenfragebogen + Anlage ISO27001	Multi-site Certification (Group/Matrix Certification)
ACE	Kalkulation des Auditaufwandes	Questionnaire for potential customers + Appendix ISO27001
	ISO27001 requirements	Calculation of audit effort
CERT-310-AA-005	Kompetente Zertifizierungsentscheidung	ISO27001 requirements
CERT-310-AA-007	Festlegen von Zertifikatsnummern	Competent certification decision
CERT-310-AA-014	Festlegen des Geltungsbereichs von Zertifikaten bei Systemaudits (Deutschland)	Definition of certification No.
CERT-510-MU-014	Kompetenzanalyse des am Zertifizierungsprozess beteiligten Personals	Fixing the certificate scope during management system audits (Germany)
TN CERT- Handbuch/ QM Manual	Matrix über Zuständigkeiten der Außenstellen von TÜV NORD CERT	

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification BCMS;
 Spezifische Anforderungen zur Zertifizierung Managementsysteme BCMS;

ISMS; SMS
 ISMS; SMS



A1 Aufwände für Zertifizierung/ Überwachung/ Wiederholungsaudit	A1 Effort for certification/ surveillance/ re-certification audits
	<p>“Employees” as referenced in the auditor time chart (see ACE for BCMS, ISMS, SMS and QMS (ISO9001)) refers to all individuals whose work activities relate to the scope of the organization. The total number of employees for all shifts is the starting point for determination of audit time.</p>
	<p>The effective number of employees includes non-permanent (seasonal, temporary, and subcontracted) staff that will be present at the time of the audit. A certification body should agree with the organization to be audited the timing of the audit which will best demonstrate the full scope of the organization. The consideration could include season, month, day/date and shift as appropriate.</p>
	<p>Part-time employees should be treated as full-time-equivalent employees. This determination will depend upon the number of hours worked as compared with a full-time employee.</p>
	<p>“Auditor time” includes the time spent by an auditor or audit team in stage 1 audit, stage 2 audit and planning (including off-site document review, if appropriate); interfacing with organization, personnel, records, documentation and process; and report writing. The “Auditor time” involved in such planning and report writing combined cannot reduce the total on-site “auditor time” to less than 70 % of the time shown in the auditor time chart. Where additional time is required for planning and/or report writing, this will not be justification for reducing on-site auditor time. Auditor travel time is not included in this calculation, and is additional to the Auditor time referenced in the chart.</p>
	<p>Remote Audits (CAAT; Computer Assisted Audit Techniques)</p>
	<p>If CAAT such as interactive web-based collaboration, web meetings, teleconferences and/or electronic verification of the organization’s processes are utilized to interface with the organization, these activities shall be identified in the audit plan, and may be considered as partially contributing to the total “on-site auditor time”. CAAT activities are only up to 30 % of the planned on-site auditor time allowed.</p> <p>On-site auditor time refers to the on-site auditor time allocated for individual sites. Electronic audits of remote sites are considered to be remote audits, even if the electronic audits are physically carried out on the organization’s premises</p>
	<p>Locations / sites</p>

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification

BCMS;

ISMS; SMS

Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;

ISMS; SMS



A temporary site is a location other than the sites/locations identified in the certification document where activities, within the scope of certification, are implemented for a defined period of time. These sites could range from major project management sites to minor service/installation sites. The need to visit such sites and the extent of sampling should be based on an evaluation of the risks of the failure of a product or service to meet needs/expectations due to system nonconformity. The sample of sites selected should represent the range of the organization's competency needs and service variations having given consideration to sizes and types of activities, and the various stages of projects in progress.

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



TN CERT InfMS / Effort Calculation Tables

ISO 27001 Information Security Management Systems (QMS)

Employees & contractors	Certification ISO27001				Surveillance ISO27001				Re-Certification ISO27001			
	total [100%]	total [70%]	on-site [100%]	on-site [70%]	total [100%]	total [70%]	on-site [100%]	on-site [70%]	total [100%]	total [70%]	on-site [100%]	on-site [70%]
1	5,0	3,5	3,5	2,5	1,7	1,2	1,2	0,8	3,3	2,3	2,3	1,6
11	7,0	4,9	4,9	3,4	2,3	1,6	1,6	1,1	4,7	3,3	3,3	2,3
26	8,5	6,0	6,0	4,2	2,8	2,0	2,0	1,4	5,7	4,0	4,0	2,8
46	10,0	7,0	7,0	4,9	3,3	2,3	2,3	1,6	6,7	4,7	4,7	3,3
66	11,0	7,7	7,7	5,4	3,7	2,6	2,6	1,8	7,3	5,1	5,1	3,6
86	12,0	8,4	8,4	5,9	4,0	2,8	2,8	2,0	8,0	5,6	5,6	3,9
126	13,0	9,1	9,1	6,4	4,3	3,0	3,0	2,1	8,7	6,1	6,1	4,3
176	14,0	9,8	9,8	6,9	4,7	3,3	3,3	2,3	9,3	6,5	6,5	4,6
276	15,0	10,5	10,5	7,4	5,0	3,5	3,5	2,5	10,0	7,0	7,0	4,9
426	16,5	11,6	11,6	8,1	5,5	3,9	3,9	2,7	11,0	7,7	7,7	5,4
626	17,5	12,3	12,3	8,6	5,8	4,1	4,1	2,9	11,7	8,2	8,2	5,7
876	18,5	13,0	13,0	9,1	6,2	4,3	4,3	3,0	12,3	8,6	8,6	6,0
1176	19,5	13,7	13,7	9,6	6,5	4,6	4,6	3,2	13,0	9,1	9,1	6,4
1551	21,0	14,7	14,7	10,3	7,0	4,9	4,9	3,4	14,0	9,8	9,8	6,9
2026	22,0	15,4	15,4	10,8	7,3	5,1	5,1	3,6	14,7	10,3	10,3	7,2
2676	23,0	16,1	16,1	11,3	7,7	5,4	5,4	3,8	15,3	10,7	10,7	7,5
3451	24,0	16,8	16,8	11,8	8,0	5,6	5,6	3,9	16,0	11,2	11,2	7,8
4351	25,0	17,5	17,5	12,3	8,3	5,8	5,8	4,1	16,7	11,7	11,7	8,2
5451	26,0	18,2	18,2	12,7	8,7	6,1	6,1	4,3	17,3	12,1	12,1	8,5
6801	27,0	18,9	18,9	13,2	9,0	6,3	6,3	4,4	18,0	12,6	12,6	8,8
8501	28,0	19,6	19,6	13,7	9,3	6,5	6,5	4,6	18,7	13,1	13,1	9,2

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification

BCMS;

ISMS; SMS

Spezifische Anforderungen zur Zertifizierung Managementsysteme BCMS;

ISMS; SMS



Employees & contractors	Certification ISO27001				Surveillance ISO27001				Re-Certification ISO27001			
	total [100%]	total [70%]	on-site [100%]	on-site [70%]	total [100%]	total [70%]	on-site [100%]	on-site [70%]	total [100%]	total [70%]	on-site [100%]	on-site [70%]
10701	29,0	20,3	20,3	14,2	9,7	6,8	6,8	4,8	19,3	13,5	13,5	9,5
13601	30,0	21,0	21,0	14,7	10,0	7,0	7,0	4,9	20,0	14,0	14,0	9,8
17451	31,0	21,7	21,7	15,2	10,3	7,2	7,2	5,0	20,7	14,5	14,5	10,2
22551	32,0	22,4	22,4	15,7	10,7	7,5	7,5	5,3	21,3	14,9	14,9	10,4
29251	33,0	23,1	23,1	16,2	11,0	7,7	7,7	5,4	22,0	15,4	15,4	10,8
37951	34,0	23,8	23,8	16,7	11,3	7,9	7,9	5,5	22,7	15,9	15,9	11,1
49101	35,0	24,5	24,5	17,2	11,7	8,2	8,2	5,7	23,3	16,3	16,3	11,4
63201	36,0	25,2	25,2	17,6	12,0	8,4	8,4	5,9	24,0	16,8	16,8	11,8
80801	37,0	25,9	25,9	18,1	12,3	8,6	8,6	6,0	24,7	17,3	17,3	12,1
102501	38,0	26,6	26,6	18,6	12,7	8,9	8,9	6,2	25,3	17,7	17,7	12,4
128951	39,0	27,3	27,3	19,1	13,0	9,1	9,1	6,4	26,0	18,2	18,2	12,7
160851	40,0	28,0	28,0	19,6	13,3	9,3	9,3	6,5	26,7	18,7	18,7	13,1
198951	41,0	28,7	28,7	20,1	13,7	9,6	9,6	6,7	27,3	19,1	19,1	13,4
244051	42,0	29,4	29,4	20,6	14,0	9,8	9,8	6,9	28,0	19,6	19,6	13,7
297001	43,0	30,1	30,1	21,1	14,3	10,0	10,0	7,0	28,7	20,1	20,1	14,1
358701	44,0	30,8	30,8	21,6	14,7	10,3	10,3	7,2	29,3	20,5	20,5	14,4
430101	45,0	31,5	31,5	22,1	15,0	10,5	10,5	7,4	30,0	21,0	21,0	14,7
512201	46,0	32,2	32,2	22,5	15,3	10,7	10,7	7,5	30,7	21,5	21,5	15,1
606051	47,0	32,9	32,9	23,0	15,7	11,0	11,0	7,7	31,3	21,9	21,9	15,3
712751	48,0	33,6	33,6	23,5	16,0	11,2	11,2	7,8	32,0	22,4	22,4	15,7
833451	49,0	34,3	34,3	24,0	16,3	11,4	11,4	8,0	32,7	22,9	22,9	16,0
969351	50,0	35,0	35,0	24,5	16,7	11,7	11,7	8,2	33,3	23,3	23,3	16,3
1121701	51,0	35,7	35,7	25,0	17,0	11,9	11,9	8,3	34,0	23,8	23,8	16,7
1291801	52,0	36,4	36,4	25,5	17,3	12,1	12,1	8,5	34,7	24,3	24,3	17,0
1481001	53,0	37,1	37,1	26,0	17,7	12,4	12,4	8,7	35,3	24,7	24,7	17,3

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification

BCMS;

ISMS; SMS

Spezifische Anforderungen zur Zertifizierung Managementsysteme BCMS;

ISMS; SMS



Employees & contractors	Certification ISO27001				Surveillance ISO27001				Re-Certification ISO27001			
	total [100%]	total [70%]	on-site [100%]	on-site [70%]	total [100%]	total [70%]	on-site [100%]	on-site [70%]	total [100%]	total [70%]	on-site [100%]	on-site [70%]
1690701	54,0	37,8	37,8	26,5	18,0	12,6	12,6	8,8	36,0	25,2	25,2	17,6
1922351	55,0	38,5	38,5	27,0	18,3	12,8	12,8	9,0	36,7	25,7	25,7	18,0
2177451	56,0	39,2	39,2	27,4	18,7	13,1	13,1	9,2	37,3	26,1	26,1	18,3
2457551	57,0	39,9	39,9	27,9	19,0	13,3	13,3	9,3	38,0	26,6	26,6	18,6
2764251	58,0	40,6	40,6	28,4	19,3	13,5	13,5	9,5	38,7	27,1	27,1	19,0

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



ISO 9001 Quality Management Systems (QMS)

Employees & contractors	Certification ISO 9001					
	total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
1	1,5	1,1	0,3	0,2	1,2	0,9
6	2,0	1,4	0,4	0,3	1,6	1,1
11	2,5	1,8	0,5	0,4	2,0	1,4
16	3,0	2,1	0,6	0,4	2,4	1,7
26	4,0	2,8	0,8	0,6	3,2	2,2
46	5,0	3,5	1,0	0,7	4,0	2,8
66	6,0	4,2	1,2	0,8	4,8	3,4
86	7,0	4,9	1,4	1,0	5,6	3,9
126	8,0	5,6	1,6	1,1	6,4	4,5
176	9,0	6,3	1,8	1,3	7,2	5,0
276	10,0	7,0	2,0	1,4	8,0	5,6
426	11,0	7,7	2,2	1,5	8,8	6,2
626	12,0	8,4	2,4	1,7	9,6	6,7
876	13,0	9,1	2,6	1,8	10,4	7,3
1176	14,0	9,8	2,8	2,0	11,2	7,8
1551	15,0	10,5	3,0	2,1	12,0	8,4
2026	16,0	11,2	3,2	2,2	12,8	9,0
2676	17,0	11,9	3,4	2,4	13,6	9,5
3451	18,0	12,6	3,6	2,5	14,4	10,1
4351	19,0	13,3	3,8	2,7	15,2	10,6
5451	20,0	14,0	4,0	2,8	16,0	11,2
6801	21,0	14,7	4,2	2,9	16,8	11,8
8501	22,0	15,4	4,4	3,1	17,6	12,3

Surveillance ISO 9001					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
0,5	0,4	0,1	0,1	0,4	0,3
0,7	0,5	0,1	0,1	0,6	0,4
0,8	0,6	0,2	0,1	0,6	0,5
1,0	0,7	0,2	0,1	0,8	0,6
1,3	0,9	0,3	0,2	1,0	0,7
1,7	1,2	0,3	0,2	1,4	1,0
2,0	1,4	0,4	0,3	1,6	1,1
2,3	1,6	0,5	0,3	1,8	1,3
2,7	1,9	0,5	0,4	2,2	1,5
3,0	2,1	0,6	0,4	2,4	1,7
3,3	2,3	0,7	0,5	2,6	1,8
3,7	2,6	0,7	0,5	3,0	2,1
4,0	2,8	0,8	0,6	3,2	2,2
4,3	3,0	0,9	0,6	3,4	2,4
4,7	3,3	0,9	0,7	3,8	2,6
5,0	3,5	1,0	0,7	4,0	2,8
5,3	3,7	1,1	0,7	4,2	3,0
5,7	4,0	1,1	0,8	4,6	3,2
6,0	4,2	1,2	0,8	4,8	3,4
6,3	4,4	1,3	0,9	5,0	3,5
6,7	4,7	1,3	0,9	5,4	3,8
7,0	4,9	1,4	1,0	5,6	3,9
7,3	5,1	1,5	1,0	5,8	4,1

Re-Certification ISO 9001					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
1,0	0,7	0,2	0,1	0,8	0,6
1,3	0,9	0,3	0,2	1,0	0,7
1,7	1,2	0,3	0,2	1,4	1,0
2,0	1,4	0,4	0,3	1,6	1,1
2,7	1,9	0,5	0,4	2,2	1,5
3,3	2,3	0,7	0,5	2,6	1,8
4,0	2,8	0,8	0,6	3,2	2,2
4,7	3,3	0,9	0,7	3,8	2,6
5,3	3,7	1,1	0,7	4,2	3,0
6,0	4,2	1,2	0,8	4,8	3,4
6,7	4,7	1,3	0,9	5,4	3,8
7,3	5,1	1,5	1,0	5,8	4,1
8,0	5,6	1,6	1,1	6,4	4,5
8,7	6,1	1,7	1,2	7,0	4,9
9,3	6,5	1,9	1,3	7,4	5,2
10,0	7,0	2,0	1,4	8,0	5,6
10,7	7,5	2,1	1,5	8,6	6,0
11,3	7,9	2,3	1,6	9,0	6,3
12,0	8,4	2,4	1,7	9,6	6,7
12,7	8,9	2,5	1,8	10,2	7,1
13,3	9,3	2,7	1,9	10,6	7,4
14,0	9,8	2,8	2,0	11,2	7,8
14,7	10,3	2,9	2,1	11,8	8,2

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



Employees & contractors	Certification ISO 9001					
	total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
10701	23,0	16,1	4,6	3,2	18,4	12,9
13601	24,0	16,8	4,8	3,4	19,2	13,4
17451	25,0	17,5	5,0	3,5	20,0	14,0
22551	26,0	18,2	5,2	3,6	20,8	14,6
29251	27,0	18,9	5,4	3,8	21,6	15,1
37951	28,0	19,6	5,6	3,9	22,4	15,7
49101	29,0	20,3	5,8	4,1	23,2	16,2
63201	30,0	21,0	6,0	4,2	24,0	16,8
80801	31,0	21,7	6,2	4,3	24,8	17,4
102501	32,0	22,4	6,4	4,5	25,6	17,9
128951	33,0	23,1	6,6	4,6	26,4	18,5
160851	34,0	23,8	6,8	4,8	27,2	19,0
198951	35,0	24,5	7,0	4,9	28,0	19,6
244051	36,0	25,2	7,2	5,0	28,8	20,2
297001	37,0	25,9	7,4	5,2	29,6	20,7
358701	38,0	26,6	7,6	5,3	30,4	21,3
430101	39,0	27,3	7,8	5,5	31,2	21,8
512201	40,0	28,0	8,0	5,6	32,0	22,4
606051	41,0	28,7	8,2	5,7	32,8	23,0
712751	42,0	29,4	8,4	5,9	33,6	23,5
833451	43,0	30,1	8,6	6,0	34,4	24,1
969351	44,0	30,8	8,8	6,2	35,2	24,6
1121701	45,0	31,5	9,0	6,3	36,0	25,2
1291801	46,0	32,2	9,2	6,4	36,8	25,8
1481001	47,0	32,9	9,4	6,6	37,6	26,3

Surveillance ISO 9001					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
7,7	5,4	1,5	1,1	6,2	4,3
8,0	5,6	1,6	1,1	6,4	4,5
8,3	5,8	1,7	1,2	6,6	4,6
8,7	6,1	1,7	1,2	7,0	4,9
9,0	6,3	1,8	1,3	7,2	5,0
9,3	6,5	1,9	1,3	7,4	5,2
9,7	6,8	1,9	1,4	7,8	5,4
10,0	7,0	2,0	1,4	8,0	5,6
10,3	7,2	2,1	1,4	8,2	5,8
10,7	7,5	2,1	1,5	8,6	6,0
11,0	7,7	2,2	1,5	8,8	6,2
11,3	7,9	2,3	1,6	9,0	6,3
11,7	8,2	2,3	1,6	9,4	6,6
12,0	8,4	2,4	1,7	9,6	6,7
12,3	8,6	2,5	1,7	9,8	6,9
12,7	8,9	2,5	1,8	10,2	7,1
13,0	9,1	2,6	1,8	10,4	7,3
13,3	9,3	2,7	1,9	10,6	7,4
13,7	9,6	2,7	1,9	11,0	7,7
14,0	9,8	2,8	2,0	11,2	7,8
14,3	10,0	2,9	2,0	11,4	8,0
14,7	10,3	2,9	2,1	11,8	8,2
15,0	10,5	3,0	2,1	12,0	8,4
15,3	10,7	3,1	2,1	12,2	8,6
15,7	11,0	3,1	2,2	12,6	8,8

Re-Certification ISO 9001					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
15,3	10,7	3,1	2,1	12,2	8,6
16,0	11,2	3,2	2,2	12,8	9,0
16,7	11,7	3,3	2,3	13,4	9,4
17,3	12,1	3,5	2,4	13,8	9,7
18,0	12,6	3,6	2,5	14,4	10,1
18,7	13,1	3,7	2,6	15,0	10,5
19,3	13,5	3,9	2,7	15,4	10,8
20,0	14,0	4,0	2,8	16,0	11,2
20,7	14,5	4,1	2,9	16,6	11,6
21,3	14,9	4,3	3,0	17,0	11,9
22,0	15,4	4,4	3,1	17,6	12,3
22,7	15,9	4,5	3,2	18,2	12,7
23,3	16,3	4,7	3,3	18,6	13,0
24,0	16,8	4,8	3,4	19,2	13,4
24,7	17,3	4,9	3,5	19,8	13,8
25,3	17,7	5,1	3,5	20,2	14,2
26,0	18,2	5,2	3,6	20,8	14,6
26,7	18,7	5,3	3,7	21,4	15,0
27,3	19,1	5,5	3,8	21,8	15,3
28,0	19,6	5,6	3,9	22,4	15,7
28,7	20,1	5,7	4,0	23,0	16,1
29,3	20,5	5,9	4,1	23,4	16,4
30,0	21,0	6,0	4,2	24,0	16,8
30,7	21,5	6,1	4,3	24,6	17,2
31,3	21,9	6,3	4,4	25,0	17,5

A50VA02 Procedure / Verfahrensweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



Employees & contractors	Certification ISO 9001					
	total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
1690701	48,0	33,6	9,6	6,7	38,4	26,9
1922351	49,0	34,3	9,8	6,9	39,2	27,4
2177451	50,0	35,0	10,0	7,0	40,0	28,0
2457551	51,0	35,7	10,2	7,1	40,8	28,6
2764251	52,0	36,4	10,4	7,3	41,6	29,1

Surveillance ISO 9001					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
16,0	11,2	3,2	2,2	12,8	9,0
16,3	11,4	3,3	2,3	13,0	9,1
16,7	11,7	3,3	2,3	13,4	9,4
17,0	11,9	3,4	2,4	13,6	9,5
17,3	12,1	3,5	2,4	13,8	9,7

Re-Certification ISO 9001					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
32,0	22,4	6,4	4,5	25,6	17,9
32,7	22,9	6,5	4,6	26,2	18,3
33,3	23,3	6,7	4,7	26,6	18,6
34,0	23,8	6,8	4,8	27,2	19,0
34,7	24,3	6,9	4,9	27,8	19,4

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



ISO 20000-1 Service Management Systems (SMS)

Employees & contractors	Certification ISO20000-1					
	total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
1	3,0	2,1	0,6	0,4	2,4	1,7
26	4,0	2,8	0,8	0,6	3,2	2,2
46	5,0	3,5	1,0	0,7	4,0	2,8
66	6,0	4,2	1,2	0,8	4,8	3,4
86	7,0	4,9	1,4	1,0	5,6	3,9
126	8,0	5,6	1,6	1,1	6,4	4,5
176	9,0	6,3	1,8	1,3	7,2	5,0
276	10,0	7,0	2,0	1,4	8,0	5,6
426	11,0	7,7	2,2	1,5	8,8	6,2
626	12,0	8,4	2,4	1,7	9,6	6,7
876	13,0	9,1	2,6	1,8	10,4	7,3
1176	14,0	9,8	2,8	2,0	11,2	7,8
1551	15,0	10,5	3,0	2,1	12,0	8,4
2026	16,0	11,2	3,2	2,2	12,8	9,0
2676	17,0	11,9	3,4	2,4	13,6	9,5
3451	18,0	12,6	3,6	2,5	14,4	10,1
4351	19,0	13,3	3,8	2,7	15,2	10,6
5451	20,0	14,0	4,0	2,8	16,0	11,2
6801	21,0	14,7	4,2	2,9	16,8	11,8
8501	22,0	15,4	4,4	3,1	17,6	12,3
10701	23,0	16,1	4,6	3,2	18,4	12,9
13601	24,0	16,8	4,8	3,4	19,2	13,4

Surveillance ISO20000-1					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
1,0	0,7	0,2	0,1	0,8	0,6
1,3	0,9	0,3	0,2	1,0	0,7
1,7	1,2	0,3	0,2	1,4	1,0
2,0	1,4	0,4	0,3	1,6	1,1
2,3	1,6	0,5	0,3	1,8	1,3
2,7	1,9	0,5	0,4	2,2	1,5
3,0	2,1	0,6	0,4	2,4	1,7
3,3	2,3	0,7	0,5	2,6	1,8
3,7	2,6	0,7	0,5	3,0	2,1
4,0	2,8	0,8	0,6	3,2	2,2
4,3	3,0	0,9	0,6	3,4	2,4
4,7	3,3	0,9	0,7	3,8	2,6
5,0	3,5	1,0	0,7	4,0	2,8
5,3	3,7	1,1	0,7	4,2	3,0
5,7	4,0	1,1	0,8	4,6	3,2
6,0	4,2	1,2	0,8	4,8	3,4
6,3	4,4	1,3	0,9	5,0	3,5
6,7	4,7	1,3	0,9	5,4	3,8
7,0	4,9	1,4	1,0	5,6	3,9
7,3	5,1	1,5	1,0	5,8	4,1
7,7	5,4	1,5	1,1	6,2	4,3
8,0	5,6	1,6	1,1	6,4	4,5

Re-Certification ISO20000-1					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
2,0	1,4	0,4	0,3	1,6	1,1
2,7	1,9	0,5	0,4	2,2	1,5
3,3	2,3	0,7	0,5	2,6	1,8
4,0	2,8	0,8	0,6	3,2	2,2
4,7	3,3	0,9	0,7	3,8	2,6
5,3	3,7	1,1	0,7	4,2	3,0
6,0	4,2	1,2	0,8	4,8	3,4
6,7	4,7	1,3	0,9	5,4	3,8
7,3	5,1	1,5	1,0	5,8	4,1
8,0	5,6	1,6	1,1	6,4	4,5
8,7	6,1	1,7	1,2	7,0	4,9
9,3	6,5	1,9	1,3	7,4	5,2
10,0	7,0	2,0	1,4	8,0	5,6
10,7	7,5	2,1	1,5	8,6	6,0
11,3	7,9	2,3	1,6	9,0	6,3
12,0	8,4	2,4	1,7	9,6	6,7
12,7	8,9	2,5	1,8	10,2	7,1
13,3	9,3	2,7	1,9	10,6	7,4
14,0	9,8	2,8	2,0	11,2	7,8
14,7	10,3	2,9	2,1	11,8	8,2
15,3	10,7	3,1	2,1	12,2	8,6
16,0	11,2	3,2	2,2	12,8	9,0

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



Employees & contractors	Certification ISO20000-1					
	total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
17451	25,0	17,5	5,0	3,5	20,0	14,0
22551	26,0	18,2	5,2	3,6	20,8	14,6
29251	27,0	18,9	5,4	3,8	21,6	15,1
37951	28,0	19,6	5,6	3,9	22,4	15,7
49101	29,0	20,3	5,8	4,1	23,2	16,2
63201	30,0	21,0	6,0	4,2	24,0	16,8
80801	31,0	21,7	6,2	4,3	24,8	17,4
102501	32,0	22,4	6,4	4,5	25,6	17,9
128951	33,0	23,1	6,6	4,6	26,4	18,5
160851	34,0	23,8	6,8	4,8	27,2	19,0
198951	35,0	24,5	7,0	4,9	28,0	19,6
244051	36,0	25,2	7,2	5,0	28,8	20,2
297001	37,0	25,9	7,4	5,2	29,6	20,7
358701	38,0	26,6	7,6	5,3	30,4	21,3
430101	39,0	27,3	7,8	5,5	31,2	21,8
512201	40,0	28,0	8,0	5,6	32,0	22,4
606051	41,0	28,7	8,2	5,7	32,8	23,0
712751	42,0	29,4	8,4	5,9	33,6	23,5
833451	43,0	30,1	8,6	6,0	34,4	24,1
969351	44,0	30,8	8,8	6,2	35,2	24,6
1121701	45,0	31,5	9,0	6,3	36,0	25,2
1291801	46,0	32,2	9,2	6,4	36,8	25,8
1481001	47,0	32,9	9,4	6,6	37,6	26,3
1690701	48,0	33,6	9,6	6,7	38,4	26,9
1922351	49,0	34,3	9,8	6,9	39,2	27,4

Surveillance ISO20000-1					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
8,3	5,8	1,7	1,2	6,6	4,6
8,7	6,1	1,7	1,2	7,0	4,9
9,0	6,3	1,8	1,3	7,2	5,0
9,3	6,5	1,9	1,3	7,4	5,2
9,7	6,8	1,9	1,4	7,8	5,4
10,0	7,0	2,0	1,4	8,0	5,6
10,3	7,2	2,1	1,4	8,2	5,8
10,7	7,5	2,1	1,5	8,6	6,0
11,0	7,7	2,2	1,5	8,8	6,2
11,3	7,9	2,3	1,6	9,0	6,3
11,7	8,2	2,3	1,6	9,4	6,6
12,0	8,4	2,4	1,7	9,6	6,7
12,3	8,6	2,5	1,7	9,8	6,9
12,7	8,9	2,5	1,8	10,2	7,1
13,0	9,1	2,6	1,8	10,4	7,3
13,3	9,3	2,7	1,9	10,6	7,4
13,7	9,6	2,7	1,9	11,0	7,7
14,0	9,8	2,8	2,0	11,2	7,8
14,3	10,0	2,9	2,0	11,4	8,0
14,7	10,3	2,9	2,1	11,8	8,2
15,0	10,5	3,0	2,1	12,0	8,4
15,3	10,7	3,1	2,1	12,2	8,6
15,7	11,0	3,1	2,2	12,6	8,8
16,0	11,2	3,2	2,2	12,8	9,0
16,3	11,4	3,3	2,3	13,0	9,1

Re-Certification ISO20000-1					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
16,7	11,7	3,3	2,3	13,4	9,4
17,3	12,1	3,5	2,4	13,8	9,7
18,0	12,6	3,6	2,5	14,4	10,1
18,7	13,1	3,7	2,6	15,0	10,5
19,3	13,5	3,9	2,7	15,4	10,8
20,0	14,0	4,0	2,8	16,0	11,2
20,7	14,5	4,1	2,9	16,6	11,6
21,3	14,9	4,3	3,0	17,0	11,9
22,0	15,4	4,4	3,1	17,6	12,3
22,7	15,9	4,5	3,2	18,2	12,7
23,3	16,3	4,7	3,3	18,6	13,0
24,0	16,8	4,8	3,4	19,2	13,4
24,7	17,3	4,9	3,5	19,8	13,8
25,3	17,7	5,1	3,5	20,2	14,2
26,0	18,2	5,2	3,6	20,8	14,6
26,7	18,7	5,3	3,7	21,4	15,0
27,3	19,1	5,5	3,8	21,8	15,3
28,0	19,6	5,6	3,9	22,4	15,7
28,7	20,1	5,7	4,0	23,0	16,1
29,3	20,5	5,9	4,1	23,4	16,4
30,0	21,0	6,0	4,2	24,0	16,8
30,7	21,5	6,1	4,3	24,6	17,2
31,3	21,9	6,3	4,4	25,0	17,5
32,0	22,4	6,4	4,5	25,6	17,9
32,7	22,9	6,5	4,6	26,2	18,3

A50VA02 Procedure / Verfahrensweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



Employees & contractors	Certification ISO20000-1					
	total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
2177451	50,0	35,0	10,0	7,0	40,0	28,0
2457551	51,0	35,7	10,2	7,1	40,8	28,6
2764251	52,0	36,4	10,4	7,3	41,6	29,1

Surveillance ISO20000-1					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
16,7	11,7	3,3	2,3	13,4	9,4
17,0	11,9	3,4	2,4	13,6	9,5
17,3	12,1	3,5	2,4	13,8	9,7

Re-Certification ISO20000-1					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
33,3	23,3	6,7	4,7	26,6	18,6
34,0	23,8	6,8	4,8	27,2	19,0
34,7	24,3	6,9	4,9	27,8	19,4

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



ISO 22301 Business Continuity Management Systems (BCMS)

Employees & contractors	Certification ISO 22301					
	total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
1	2,0	1,4	0,6	0,4	1,4	1,0
11	3,0	2,1	0,9	0,6	2,1	1,5
26	4,0	2,8	1,2	0,8	2,8	2,0
46	5,0	3,5	1,5	1,0	3,5	2,5
66	6,0	4,2	1,8	1,3	4,2	2,9
86	7,0	4,9	2,1	1,5	4,9	3,4
126	8,0	5,6	2,4	1,7	5,6	3,9
176	9,0	6,3	2,7	1,9	6,3	4,4
276	10,0	7,0	3,0	2,1	7,0	4,9
426	11,0	7,7	3,3	2,3	7,7	5,4
626	12,0	8,4	3,6	2,5	8,4	5,9
876	13,0	9,1	3,9	2,7	9,1	6,4
1176	14,0	9,8	4,2	2,9	9,8	6,9
1551	15,0	10,5	4,5	3,1	10,5	7,4
2026	16,0	11,2	4,8	3,4	11,2	7,8
2676	17,0	11,9	5,1	3,6	11,9	8,3
3451	18,0	12,6	5,4	3,8	12,6	8,8
4351	19,0	13,3	5,7	4,0	13,3	9,3
5451	20,0	14,0	6,0	4,2	14,0	9,8
6801	21,0	14,7	6,3	4,4	14,7	10,3
8501	22,0	15,4	6,6	4,6	15,4	10,8
10701	23,0	16,1	6,9	4,8	16,1	11,3

Surveillance ISO 22301					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
0,7	0,5	0,2	0,1	0,5	0,4
1,0	0,7	0,3	0,2	0,7	0,5
1,3	0,9	0,4	0,3	0,9	0,6
1,7	1,2	0,5	0,4	1,2	0,8
2,0	1,4	0,6	0,4	1,4	1,0
2,3	1,6	0,7	0,5	1,6	1,1
2,7	1,9	0,8	0,6	1,9	1,3
3,0	2,1	0,9	0,6	2,1	1,5
3,3	2,3	1,0	0,7	2,3	1,6
3,7	2,6	1,1	0,8	2,6	1,8
4,0	2,8	1,2	0,8	2,8	2,0
4,3	3,0	1,3	0,9	3,0	2,1
4,7	3,3	1,4	1,0	3,3	2,3
5,0	3,5	1,5	1,0	3,5	2,5
5,3	3,7	1,6	1,1	3,7	2,6
5,7	4,0	1,7	1,2	4,0	2,8
6,0	4,2	1,8	1,3	4,2	2,9
6,3	4,4	1,9	1,3	4,4	3,1
6,7	4,7	2,0	1,4	4,7	3,3
7,0	4,9	2,1	1,5	4,9	3,4
7,3	5,1	2,2	1,5	5,1	3,6
7,7	5,4	2,3	1,6	5,4	3,8

Re-Certification ISO 22301					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
1,3	0,9	0,4	0,3	0,9	0,6
2,0	1,4	0,6	0,4	1,4	1,0
2,7	1,9	0,8	0,6	1,9	1,3
3,3	2,3	1,0	0,7	2,3	1,6
4,0	2,8	1,2	0,8	2,8	2,0
4,7	3,3	1,4	1,0	3,3	2,3
5,3	3,7	1,6	1,1	3,7	2,6
6,0	4,2	1,8	1,3	4,2	2,9
6,7	4,7	2,0	1,4	4,7	3,3
7,3	5,1	2,2	1,5	5,1	3,6
8,0	5,6	2,4	1,7	5,6	3,9
8,7	6,1	2,6	1,8	6,1	4,3
9,3	6,5	2,8	1,9	6,5	4,6
10,0	7,0	3,0	2,1	7,0	4,9
10,7	7,5	3,2	2,2	7,5	5,3
11,3	7,9	3,4	2,4	7,9	5,5
12,0	8,4	3,6	2,5	8,4	5,9
12,7	8,9	3,8	2,7	8,9	6,2
13,3	9,3	4,0	2,8	9,3	6,5
14,0	9,8	4,2	2,9	9,8	6,9
14,7	10,3	4,4	3,1	10,3	7,2
15,3	10,7	4,6	3,2	10,7	7,5

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



Employees & contractors	Certification ISO 22301					
	total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
13601	24,0	16,8	7,2	5,0	16,8	11,8
17451	25,0	17,5	7,5	5,2	17,5	12,3
22551	26,0	18,2	7,8	5,5	18,2	12,7
29251	27,0	18,9	8,1	5,7	18,9	13,2
37951	28,0	19,6	8,4	5,9	19,6	13,7
49101	29,0	20,3	8,7	6,1	20,3	14,2
63201	30,0	21,0	9,0	6,3	21,0	14,7
80801	31,0	21,7	9,3	6,5	21,7	15,2
102501	32,0	22,4	9,6	6,7	22,4	15,7
128951	33,0	23,1	9,9	6,9	23,1	16,2
160851	34,0	23,8	10,2	7,1	23,8	16,7
198951	35,0	24,5	10,5	7,3	24,5	17,2
244051	36,0	25,2	10,8	7,6	25,2	17,6
297001	37,0	25,9	11,1	7,8	25,9	18,1
358701	38,0	26,6	11,4	8,0	26,6	18,6
430101	39,0	27,3	11,7	8,2	27,3	19,1
512201	40,0	28,0	12,0	8,4	28,0	19,6
606051	41,0	28,7	12,3	8,6	28,7	20,1
712751	42,0	29,4	12,6	8,8	29,4	20,6
833451	43,0	30,1	12,9	9,0	30,1	21,1
969351	44,0	30,8	13,2	9,2	30,8	21,6
1121701	45,0	31,5	13,5	9,4	31,5	22,1
1291801	46,0	32,2	13,8	9,7	32,2	22,5
1481001	47,0	32,9	14,1	9,9	32,9	23,0
1690701	48,0	33,6	14,4	10,1	33,6	23,5

Surveillance ISO 22301					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
8,0	5,6	2,4	1,7	5,6	3,9
8,3	5,8	2,5	1,7	5,8	4,1
8,7	6,1	2,6	1,8	6,1	4,3
9,0	6,3	2,7	1,9	6,3	4,4
9,3	6,5	2,8	1,9	6,5	4,6
9,7	6,8	2,9	2,0	6,8	4,8
10,0	7,0	3,0	2,1	7,0	4,9
10,3	7,2	3,1	2,2	7,2	5,0
10,7	7,5	3,2	2,2	7,5	5,3
11,0	7,7	3,3	2,3	7,7	5,4
11,3	7,9	3,4	2,4	7,9	5,5
11,7	8,2	3,5	2,5	8,2	5,7
12,0	8,4	3,6	2,5	8,4	5,9
12,3	8,6	3,7	2,6	8,6	6,0
12,7	8,9	3,8	2,7	8,9	6,2
13,0	9,1	3,9	2,7	9,1	6,4
13,3	9,3	4,0	2,8	9,3	6,5
13,7	9,6	4,1	2,9	9,6	6,7
14,0	9,8	4,2	2,9	9,8	6,9
14,3	10,0	4,3	3,0	10,0	7,0
14,7	10,3	4,4	3,1	10,3	7,2
15,0	10,5	4,5	3,1	10,5	7,4
15,3	10,7	4,6	3,2	10,7	7,5
15,7	11,0	4,7	3,3	11,0	7,7
16,0	11,2	4,8	3,4	11,2	7,8

Re-Certification ISO 22301					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
16,0	11,2	4,8	3,4	11,2	7,8
16,7	11,7	5,0	3,5	11,7	8,2
17,3	12,1	5,2	3,6	12,1	8,5
18,0	12,6	5,4	3,8	12,6	8,8
18,7	13,1	5,6	3,9	13,1	9,2
19,3	13,5	5,8	4,0	13,5	9,5
20,0	14,0	6,0	4,2	14,0	9,8
20,7	14,5	6,2	4,3	14,5	10,2
21,3	14,9	6,4	4,5	14,9	10,4
22,0	15,4	6,6	4,6	15,4	10,8
22,7	15,9	6,8	4,8	15,9	11,1
23,3	16,3	7,0	4,9	16,3	11,4
24,0	16,8	7,2	5,0	16,8	11,8
24,7	17,3	7,4	5,2	17,3	12,1
25,3	17,7	7,6	5,3	17,7	12,4
26,0	18,2	7,8	5,5	18,2	12,7
26,7	18,7	8,0	5,6	18,7	13,1
27,3	19,1	8,2	5,7	19,1	13,4
28,0	19,6	8,4	5,9	19,6	13,7
28,7	20,1	8,6	6,0	20,1	14,1
29,3	20,5	8,8	6,1	20,5	14,4
30,0	21,0	9,0	6,3	21,0	14,7
30,7	21,5	9,2	6,4	21,5	15,1
31,3	21,9	9,4	6,6	21,9	15,3
32,0	22,4	9,6	6,7	22,4	15,7

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



Employees & contractors	Certification ISO 22301					
	total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
1922351	49,0	34,3	14,7	10,3	34,3	24,0
2177451	50,0	35,0	15,0	10,5	35,0	24,5
2457551	51,0	35,7	15,3	10,7	35,7	25,0
2764251	52,0	36,4	15,6	10,9	36,4	25,5

Surveillance ISO 22301					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
16,3	11,4	4,9	3,4	11,4	8,0
16,7	11,7	5,0	3,5	11,7	8,2
17,0	11,9	5,1	3,6	11,9	8,3
17,3	12,1	5,2	3,6	12,1	8,5

Re-Certification ISO 22301					
total [100%]	total [70%]	eval [100%]	eval [70%]	on-site [100%]	onsite [70%]
32,7	22,9	9,8	6,9	22,9	16,0
33,3	23,3	10,0	7,0	23,3	16,3
34,0	23,8	10,2	7,1	23,8	16,7
34,7	24,3	10,4	7,3	24,3	17,0

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification BCMS;
Spezifische Anforderungen zur Zertifizierung Managementsysteme BCMS;

ISMS; SMS
ISMS; SMS



A2 Kombinierte Audits	A2 Combined Audits
<p>- <u>Tabelle</u></p> <p>-</p> <p>- <u>Tabelle</u></p> <p>-</p> <p>-</p> <p>-</p> <p>Aufwandsreduzierung</p>	<p>In case of 'Combined Audits' the following shall be considered:</p> <ul style="list-style-type: none">- combined audits are possible for the Standard(s) referred in the <u>table</u>; in case of other required Standard(s), contact the certification body- it is not allowed to audit aspects (e.g. control objectives and controls) which requires ISMS auditor with his specific ISMS knowledge.- in case where requirements from different Standards correspond (see <u>table</u>), lead auditor and audit team shall analyse and judge neither is this combined audit session suitable or not (complexity, different approaches of the implemented management systems may effect the way of audit)- all elements important to an ISMS shall clearly appear in the audit report- the interfaces to other management systems shall be clearly identified- the quality of the audit shall not negative affected by any kind of combination of the audits <p>Effort reduction</p> <p>The effort reduction is based on</p> <ul style="list-style-type: none">• the ability to perform combine audits (auditors who can cover different standards• the level of integration (maturity of organizations management system to cover different standards) <p>The effort reduction can be calculated in ACE and can be at maximum 20%. With this calculation the requirements of <u>EA-7/05 EA Guidance on the Application of ISO/IEC 17021 for Combined Audits ANNEX 1</u> are fulfilled</p> <p>The table shows the correspondence between BCM, ISMS, ITSM an ISO 9001:2008, ISO 14001:1996.</p>

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



BCMS	ISMS	SMS	ISO 9001:2008	ISO 14001:2004
tation 3.4.3 Control of BCMS records	4.3.3 Control of records		4.2.4 Control of records	4.5.3 Control of records
	5 Management responsibility 5.1 Management commitment	3.1 Management responsibility	5 Management responsibility 5.1 Management commitment 5.2 Customer focus 5.3 Quality policy 5.4 Planning 5.5 Responsibility, authority and communication	4.2 Environmental policy 4.3 Planning
	5.2 Resource management 5.2.1 Provision of resources 5.2.2 Training, awareness and competency	3.3 Competence , awareness and training	6 Resource management 6.1 Provision of resources 6.2 Human resources 6.2.2 Competence, awareness and training 6.3 Infrastructure 6.4 Work environment	4.2.2 Training, awareness and competence
5.1 Internal Audits	6 Internal ISMS audits	4.3 Monitoring, measuring and reviewing (Check)	8.2.2 Internal Audit	4.5.5 Internal Audit
5 Monitoring and reviewing the BCMS 5.2.1 General 5.2.2 Review input 5.3 Review output	7 Management review of the ISMS 6.1 General 6.2 Review input 6.3 Review output	4.3 Monitoring, measuring and reviewing (Check)	5.6 Management review 5.6.1 General 5.6.2 Review input 5.6.3 Review output	4.6 Management review
6 Maintaining and improving the BCMS 6.1 Preventive and corrective actions 6.2 Continual improvement 6.1.3 Corrective action 6.1.4 Preventive action	8 ISMS improvement 8.1 Continual improvement 8.2 Corrective action 8.3 Preventive action	4.4 Continual Improvement (Act)	8 Improvement 8.5.1 Continual improvement 8.5.2 Corrective actions 5.5.3 Preventive actions	4.5.2 Non-conformance and corrective and preventive action
Annex A Correspondence with	Annex A Control objectives and controls Annex B OECD principles and this international Standard Annex C Correspondence be-		Annex A Correspondence be-	Annex A Guidance on use of the specification Annex B Correspondence be-

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Specific requirements for management system certification
 Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;
 BCMS;

ISMS; SMS
 ISMS; SMS



BCMS	ISMS	SMS	ISO 9001:2008	ISO 14001:2004
ISO9001:2008, ISO14001:2004, ISO27001:2005	tween ISO9001:2000, ISO14001:2004 and this international Standard		tween ISO9001:2000 and ISO14001:1996	tween ISO14001:2004 and ISO9001:2000

Tabelle: Cross Referenz von Management Systemen

Table: Cross reference of management standards

	ISO 27001	ISO 22301	ISO 20000-1
ISO 9001	X	X	X
ISO 27001		X	X
ISO 22301	X		X
ISO 20000-1	X	X	
ISO 14001	X	X	X
ISO 50001	X	X	X

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification BCMS;
 Spezifische Anforderungen zur Zertifizierung Managementsysteme BCMS;

ISMS; SMS
 ISMS; SMS



A3 Randbedingungen für die Durchführung der Audit Stufe 1

A3 Requirements for audit stage 1

According to Section 9.2.3.1.1 of ISO 17021 it is recommended that at least parts of the Stage 1 audit should be performed at the client's location. The Stage 1 audit can also take place at the auditor's office, if this is permissible according to the classification described below. The classification is implemented in the calculation EXCEL sheet ACE.

Review:

The following are used as **evaluation criteria**:

- Size of company
- Company structure
- Complexity
- Product/ Service risk

Note: In justified individual cases, also classification as **High** by the auditor/ certification body.

In the **evaluation** a difference is made between A (Low, Medium) and B (High).

Evaluation criteria	Classification	
	A	B
Size of company (#employees & contracted staff)	Low, Medium	High
Company structure (#sites)	Low, Medium	High
Complexity (#users or #clients or #servers or #application development & maintenance staff)	Low, Medium	High
Product/Service risks (encryption or legal compliance or sector specific risk)	Low, Medium	High

A50VA02 Procedure / Verfahrensanweisung

Specific requirements for management system certification

BCMS;

ISMS; SMS

Spezifische Anforderungen zur Zertifizierung Managementsysteme

BCMS;

ISMS; SMS



The Stage 1 on-site audit is required:

- The Stage 1 audit always takes place at the client's premises if the product/ service risk is classified as B (High).
- The Stage 1 audit takes place at the client's premises if the product/ service risk is classified as A (Low, Medium), but two further evaluation criteria are classified as B.

The duration of the Stage 1 audit is at least 0.5 days and as maximum of 50 % of the total audit time.

The total duration of the Stage 1 and Stage 2 audits is calculated on the basis of the auditor time charts, which are implemented in [A50F011_ACE].

The Stage 2 audit can be performed directly following the Stage 1 audit if required on condition that the client was made aware in advance of the consequences if weaknesses occur in the Stage 1 audit (possible categorization of the weaknesses as nonconformities in the Stage 2 audit or interruption of the audit).