# Annex C: Surveillance Plan

|  |
| --- |
| **Surveillance PlanISO/IEC 27001:2013, ISO 9001:2015 and ISO/IEC 20000-1 :2018** |
| **1**: Initial Audit**2:** Surveillance 1 Audit**3**: Surveillance 2 Audit**4**: Recertification Audit | **Plan** |
| **1****(202X)** | **2** **(202X)** | **3****(202X)** | **4****(202X)** |
| **ISO/IEC 27001:2013, ISO 9001:2015 and ISO/IEC 20000-1:2018 Clauses** |
| **4 Context of the organization** |
| **4.1** | Understanding the organization and its context |  |  |  |  |
| **4.2** | Understanding the needs and expectations of interested parties |  |  |  |  |
| **4.3** | Determining the scope of the information security management system (ISMS) |  |  |  |  |
| Determining the scope of the quality management system (QMS) |
| Determining the scope of the service management systemy (SMS) |
| **4.4** | Information security management system (ISMS) |  |  |  |  |
| Quality management system and its processes (QMS) |
| Service management system (SMS) |
| **5 Leadership** |
| **5.1** | Leadership and commitment |  |  |  |  |
| **5.2** | Policy |  |  |  |  |
| **5.3** | Organizational roles, responsibilities and authorities |  |  |  |  |
| **6 Planning** |
| **6.1** | Actions to address risks and opportunities |  |  |  |  |
| **6.2** | Information security objectives and planning to achieve them (ISMS) |  |  |  |  |
| Quality objectives and planning to achieve them (QMS) |
| Service management objectives and planning to achieve them (SMS) |
| **6.3** | Planning changes (QMS)Plan the service management system (SMS) |  |  |  |  |
| **7 Support** |
| **7.1** | Resources |  |  |  |  |
| **7.2** | Competence |  |  |  |  |
| **7.3** | Awareness |  |  |  |  |
| **7.4** | Communication |  |  |  |  |
| **7.5** | Documented information |  |  |  |  |
| **7.6** | Knowledge (SMS) |  |  |  |  |
| **8 Operation** |
| **8.1** | Operational planning and control |  |  |  |  |
| **8.2** | Information security risk assessment (ISMS) |  |  |  |  |
| Requirements for products and services (QMS) |
| Service portfolio (SMS) |
| **8.3** | Information security risk treatment (ISMS) |  |  |  |  |
| Design and development of products and services (QMS) |
| Relationship and agreement (SMS) |
| **8.4** | Control of externally provided processes, products and services (QMS) |  |  |  |  |
| Supply and demand (SMS) |
| **8.5** | Production and service provision (QMS) |  |  |  |  |
| Service design, build and transition (SMS) |
| **8.6** | Release of products and services (QMS |  |  |  |  |
| Resolution and fulfilment (SMS) |
| **8.7** | Control of nonconforming outputs (QMS) |  |  |  |  |
| Service assurance (SMS) |
| **9 Performance Evaluation** |
| **9.1** | Monitoring, measurement, analysis and evaluation |  |  |  |  |
| **9.2** | Internal audit |  |  |  |  |
| **9.3** | Management review |  |  |  |  |
| **9.4** | Service reporting (SMS) |  |  |  |  |
| **10 Improvement** |
| **10.1** | General (QMS) |  |  |  |  |
| Nonconformity and corrective action (ISMS & SMS) |
| **10.2** | Nonconformity and corrective action (QMS) |  |  |  |  |
| Continual improvement (ISMS & SMS) |
| **10.3** | Continual improvement (QMS) |  |  |  |  |
| **Control objectives and controls** |
| **A.5** | Information security policies |  |  |  |  |
| **A.6** | Organization of information security |  |  |  |  |
| **A.7** | Human resource security |  |  |  |  |
| **A.8** | Asset management |  |  |  |  |
| **A.9** | Access control |  |  |  |  |
| **A.10** | Cryptography |  |  |  |  |
| **A.11** | Physical and environmental security |  |  |  |  |
| **A.12** | Operations security |  |  |  |  |
| **A.13** | Communications security |  |  |  |  |
| **A.14** | System acquisition, development and maintenance |  |  |  |  |
| **A.15** | Supplier relationships |  |  |  |  |
| **A.16** | Information security incident management |  |  |  |  |
| **A.17** | Information security aspects of business continuity management |  |  |  |  |
| **A.18** | Compliance |  |  |  |  |
| **11. Additional requirements** |
|  | Use of Logo |  |  |  |  |
|  | List of documents included in the audited MS |  |  |  |  |
| **Notes and comments:** |  |

*For completed visits, mark “X” in the box for each clause/process covered.*

*For planned visits, mark “O” in the box for each clause/process to be covered.*