ISO 27001 mandatory documents list

Note
One row per item of documented information. Part 1 lists what clauses 4 to 10 explicitly require. Part 2 lists documents for Annex A controls that you need only when your Statement of Applicability marks the control as applicable: “Required if applicable” when the control itself asks for documentation, “Common practice” when it is usually put into practice as a document (our reading, not a complete list). Several items may sit in one document. Enter the status (open / partly / met / not applicable), the document, the owner and the next review.

Clauses 4 to 10: explicitly required documented information

No.	Documented information	Type	Example	Status	Document / location
D01	Scope of the ISMS Clause 4.3	Definition	Sites, processes, interfaces to production		
D02	Information security policy Clause 5.2	Definition	Short document approved by top management		
D03	Risk assessment process Clause 6.1.2	Definition	Method with scales and acceptance criteria		
D04	Risk treatment process Clause 6.1.3	Definition	Part of the same method		
D05	Statement of Applicability Clause 6.1.3 d	Definition	One line per Annex A control		
D06	Risk treatment plan Clause 6.1.3 e	Definition	Control, owner, due date, residual risk		
D07	Information security objectives Clause 6.2	Definition	Measurable objectives with planning		
D08	Evidence of competence Clause 7.2	Evidence	Training, certificates, briefings		
D09	Further documented information you decide is necessary Clause 7.5.1 b	Definition	For example a description of roles or a document overview		
D10	Evidence that processes ran as planned Clause 8.1	Evidence	Logs, tickets, approvals		

No.	Documented information	Type	Example	Status	Document / location
D11	Results of risk assessment Clause 8.2	Evidence	Risk register with ratings		
D12	Results of risk treatment Clause 8.3	Evidence	State of the controls, residual risks		
D13	Results of monitoring and measurement Clause 9.1	Evidence	Key figures with analysis		
D14	Audit program and audit results Clause 9.2.2	Evidence	Program, plan, report		
D15	Results of management review Clause 9.3.3	Evidence	Minutes with decisions		
D16	Nonconformities and corrective actions Clause 10.2	Evidence	Register with cause and effectiveness		

Annex A: documents when the control is applicable

No.	Documented information	Type	Example	Status	Document / location
A01	Topic-specific policies A.5.1	Common practice	For example access, suppliers, incidents, mobile working		
A02	Inventory of information and systems A.5.9	Common practice	With owners, in a plant also machines and control systems		
A03	Rules for using information and devices A.5.10	Required if applicable	Handling of information, devices and accounts		
A04	Register of legal and contractual requirements A.5.31	Required if applicable	Laws, contracts and customer requirements with owners		
A05	Documented operating procedures A.5.37	Required if applicable	Recurring procedures in IT and production		
A06	Confidentiality agreements A.6.6	Required if applicable	Templates for staff, service providers and visitors		
A07	Principles for secure system architecture A.8.27	Required if applicable	If you develop systems or software yourself		

About this template

Template version	1.0-228591ab
Content as of	26 September 2026
Published by	Made with Complass, https://complass.eu

Legal basis (as of): ISO/IEC 27001:2022 und ISO/IEC 27001:2022/Amd 1:2024 (Originaltext)

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