

ISO 27001:2022 · STAGE 1

# Stage 1 Readiness Checklist

Documentation Review under ISO 27001:2022 — 40-point check

VERSION

**1.0**

DATE

**June 4, 2026**

LICENCE

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# How to Fill In This Checklist

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This checklist structures your Stage 1 preparation (documentation review) under ISO 27001:2022. Stage 1 verifies whether your ISMS documentation is complete and conformant with the standard. Each row represents a core review document. Use the Status column to record your readiness assessment.

## Legend

1. Status: Ready = complete; Gap = gap identified; N/A = not applicable with justification
2. Evidence Location: path, ticket ID, or URL to the document
3. Notes: short comment on readiness or ownership

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## Clause 4 — Context of the Organisation

û	Ref.	Document / Evidence	Status	Evidence Location
<input type="checkbox"/>	4.1	Internal and external issues identified and documented	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	4.2	Interested parties and their requirements captured	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	4.3	ISMS scope statement formally approved, with justification for exclusions	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	4.4	ISMS documented as a process model	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>

## Clause 5 — Leadership

û	Ref.	Document / Evidence	Status	Evidence Location
<input type="checkbox"/>	5.1	Top management commitment statement in place	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	5.2	Information security policy approved and communicated	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	5.3	Roles and responsibilities assigned (CISO, ISMS manager, internal auditors)	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>

## Clause 6 — Planning

û	Ref.	Document / Evidence	Status	Evidence Location
<input type="checkbox"/>	6.1.1	Risks and opportunities assessed, treatment planning documented	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	6.1.2	Risk methodology captured in writing with acceptance criteria	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	6.1.2	Risk register complete, with owners and assessment dates	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	6.1.3 d	Statement of Applicability (SoA) covering all 93 Annex A controls	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	6.1.3	Risk Treatment Plan with controls, owners, and deadlines	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	6.2	Information security objectives defined and made measurable	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>

## Clause 7 — Support

û	Ref.	Document / Evidence	Status	Evidence Location
<input type="checkbox"/>	7.1	Resources for ISMS implementation provided	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	7.2	Competence evidence for ISMS roles documented	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	7.3	Awareness activities carried out and documented	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	7.4	Communication plan for internal and external communication in place	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	7.5	Document control established (versioning, approval, retention)	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>

## Clause 8 — Operation

û	Ref.	Document / Evidence	Status	Evidence Location
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û	Ref.	Document / Evidence	Status	Evidence Location
<input type="checkbox"/>	8.1	Operational planning and control documented	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	8.2	At least one completed risk-assessment cycle	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	8.3	Risk treatment implementation started and verifiable	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>

### Clause 9 — Performance Evaluation

û	Ref.	Document / Evidence	Status	Evidence Location
<input type="checkbox"/>	9.1	KPIs for monitoring and measurement defined	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	9.2	Internal audit plan approved, at least one audit performed	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	9.2	Internal audit report with findings available	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	9.3	At least one management review cycle fully minuted	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>

### Clause 10 — Improvement

û	Ref.	Document / Evidence	Status	Evidence Location
<input type="checkbox"/>	10.1	Nonconformity and corrective action process documented	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	10.1	At least one closed nonconformity with effectiveness check	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	10.2	Continual improvement verifiable (lessons learned, CIP tickets)	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>

### Annex A — Documentation Prerequisites

û	Ref.	Document / Evidence	Status	Evidence Location
<input type="checkbox"/>	A.5.1	Information security policies approved and distributed	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	A.5.2	Roles and responsibilities formally assigned	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	A.5.9	Asset inventory complete with owner and classification	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	A.5.19	Supplier register with risk rating for critical suppliers	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	A.5.24	Incident management plan documented	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	A.6.3	Awareness and training records for all employees	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	A.6.6	NDA templates for employees and suppliers	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	A.8.13	Backup concept documented, restore test scheduled	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>
<input type="checkbox"/>	A.8.32	Change management process documented	<input type="checkbox"/> Ready <input type="checkbox"/> Gap <input type="checkbox"/> N/A	<input type="text"/>