Minimum set of documents and records required:
By: ISO 27001: 2013

Documents	Clause / Control Number
Scope of ISMS	4.3
Information Security Policy & Objectives	5.2, 6.2
Risk Assessment & Risk Treatment Methodology	6.1.2
Statement of Applicability	6.1.3 d)
Risk Treatment Plan	6.1.3 e), 6.2, 8.3
Risk Assessment & Risk Treatment Report	8.2, 8.3
Definition of Security Roles & Responsibilities	A.7.1.2, A.13.2.4
Inventory of Assets	A.8.1.1
Acceptable Use of Assets	A.8.1.3
Access Control Policy	A.9.1.1
Operating Procedure for IT Management	A.12.1.1
Secure System Engineering Principles	A.14.2.5
Supplier Security Policy	A.15.1.1
Incident Management Procedure	A.16.1.5
Business Continuity Procedure	A.17.1.2
Legal, Regulatory & Contractual Requirements	A.18.1.1

Records*	Clause / Control Number
Records of Training, Skills, Experience & Qualifications	7.2
Monitoring & Measurement Results	9.1
Internal Audit Program	9.2
Results of Internal Audit	9.2
Results of Management Review	9.3
Results of Corrective Action	10.1
Logs of User Activities, Exceptions and Security Events	A.12.4.1, A.12.4.3

*Controls from Annex A can be excluded if an organization concludes there are no risks or other requirements which would demand the implementation of a control.

This is by no means a definitive list of documents and records that can be used during the ISO 27001 implementation – the standard allows any other documents to be added to improve the level of information security.

Commonly used non-mandatory documents

Documents	Clause / Control Number
Procedures for Document Control	7.5
Control for Managing Records	7.5
Procedure for Internal Audit	9.2
Procedure for Corrective Action	10.1
Bring Your Own Device (BYOD) Policy	A.6.2.1
Mobile Device & Teleworking Policy	A.6.2.1
Information Classification Policy	A.8.2.1, A.8.2.2, A.8.2.3
Password Policy	A.9.2.1, A.9.2.2, A.9.2.4, A.9.3.1, A.9.4.3
Media Disposal & Destruction Policy	A.8.3.2, A11.2.7
Procedure for Working in Secure Areas	A.11.1.5
Clear Desk and Clear Screen Policy	A.11.2.9
Change Management Policy	A.12.1.2, A.14.2.4,
Backup Policy	A.12.3.1
Information Transfer Policy	A.13.2.1, A.13.2.2, A.13.2.3
Business Impact Analysis	A.17.1.1
Exercising & Testing Plan	A.17.1.3
Maintenance & Review Plan	A.17.1.3
Business Continuity Strategy	A.17.2.1