

National Information Security Compliance Framework (NISCF) – Standard for Management Systems' Certification

[NCSA-NISCF-CERT-SMSC]

Standard

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Abstract	This document is the Standard for Management Systems' Certification developed by the National Cyber Security Agency (NCSA) with the intended usage in the operation of National Information Security Compliance Framework (NISCF) Certification Services. This document provides the requirements for NISCF Certification Services of NCSA's developed or adopted Management Systems publications.	



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LEGAL MANDATE(S)

Based on Emiri Decree No 1 of year 2021, National Cyber Security Agency (NCSA) – National Cyber Governance and Cyber Assurance Affairs (NCGAA) is the entity responsible for issuing certificates for Technology and Information Security service providers and Certificates of Compliance with National Information Security standards and policies.

This Standard has been prepared to take into consideration the current applicable laws of the State of Qatar. If a conflict arises between this document and the laws of Qatar, the latter shall take precedence. Any such term shall, to that extent be omitted from this Document, and the rest of the document shall stand without affecting the remaining provisions. Amendments, in that case, shall then be required to ensure conformance with the relevant applicable laws of the State of Qatar.



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1. Introduction

National Cyber Security Agency (NCSA) created its Certification Services to provide assurance that organizations comply and conform with specific Cyber Security requirements defined in National and International Standards that are adopted by NCSA.

In effort to improve the Certification Services, NCSA developed this document, titled "National Information Security Compliance Framework (NISCF) – Standard for Management Systems' Certification" - V 1.0 - C0 – Public / PS1 – Non-Personal Data (Non-PD), to provide the cyber space with the requirements for NISCF Certification Services of NCSA's developed or adopted Management Systems publications.





2. Purpose and Scope

2.1. Purpose

The purpose of this document is to provide requirements for NISCF Certification Services of NCSA's developed or adopted Management Systems publications.

2.2. Scope

This document applies to all NISCF Certification Services that are offered by NCSA under the NISCF addressing NCSA's developed or adopted Management Systems publications.





3. Key Definitions

The terminologies used in this policy are consistent with the definitions provided in the NCSA-NISCF-CERT-GTXD (General Taxonomy Document for National Certification - Public).





4. Standard Requirements

4.1. General

4.1.1. Certification Body for NCSA's developed or adopted Management System's NISCF's Certification Services

4.1.1.1. Authority

- 4.1.1.1.1 National Cyber Governance and Assurance Affairs (NCGAA) National Cyber Security Agency (NCSA) shall be the Certification Body for NISCF Certification Services related to NCSA's developed or adopted Management Systems publications.
- 4.1.1.1.2. NCSA may delegate the authority of the Certification Body for NISCF's Certification Services related to NCSA's developed or adopted Management Systems publications. The delegation shall be formally approved, by NCSA's adequate authoritative power, to a specific part of its organization structure or purposely established organ (e.g., committee, board, assembly...).
- 4.1.1.3. The Certification Body shall have full authority, responsibility and accountability on decisions related to NISCF's Certification Services related to NIAF's Management Systems publications, including the types of decisions it can take.

4.1.1.2. Impartiality, Independence and Risk Management

- 4.1.1.2.1. The following activities, if provided by the engaged Audit Bodies or its network firm, persons in charge with its governance and / or management, employees, sub-contractors or partners, for a specific applicant for NISCF's Certification Services, NISCF's Certification Services subject or Certified organization, constitute unmanageable threats to independence:
 - Advisory, consultancy and implementation services related to the NCSA's developed or adopted Management Systems publications; and
 - Internal audits, assessments, evaluations and examinations services that can be leveraged and used by the Certification Body in the NISCF's Certification Services operation.
- 4.1.1.2.2. For NISCF's Certification Services, the following relationships constitute unmanageable threats to independence:

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- Controlling financially and / or legally, directly or indirectly, an applicant for NISCF's Certification Services, NISCF Certification Services subject or Certified organization;
- Owning, totally or partially, through stocks, shares or any other forms of ownership of a specific applicant for NISCF's Certification Services, NISCF's Certification Services subject or Certified organization;
- Holding a significant credit over and / or being in debt to a specific applicant for NISCF's Certification Services, NISCF's Certification Services subject or Certified organization;
- Occupying a governance or management role and / or being appointed or contracted as special advisor, counselor or attorney to a specific applicant for NISCF's Certification Services, NISCF's Certification Services subject or Certified organization or persons in charge with their governance and / or management; and
- Having related individual(s), until fourth (4) degree of consanguinity or affinity, occupying a governance or management role and / or being appointed or contracted as special advisor, counselor or attorney to a specific applicant for NISCF's Certification Services, NISCF's Certification Services subject or Certified organization or persons in charge with their governance and / or management.
- 4.1.1.2.3. Organization(s) and Individual(s) that took part of the activities described in requirement <u>4.1.1.2.1</u> and / or are in the relationships described in requirement <u>4.1.1.2.2</u> shall not be part of NISCF's Certification Services operation until a minimum period of three (3) years elapses since the end of involvement in the activities and / or relationships constituting the conflict of interest.

4.1.2. NISCF's Certification Services Lifecycle

- 4.1.2.1.1. NISCF's Certification Services lifecycle shall only be initiated through a formal request to the Certification Body's as per pre-determined requirements.
- 4.1.2.1.2. NISCF's Certification Services lifecycle ends with either:
 - The end of a NISCF's Certification Services request through:

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- The end NISCF's Certification Services request validity as per the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures;
- Rejection of a request; or
- Denial to issue a NISCF's Certificate of Compliance;
- The end of the period of validity of a NISCF's Certificate of Compliance through:
 - Expiry;
 - Withdraw; or
 - C Termination.
- 4.1.2.1.3. The period of validity of a Certificate of Compliance for NISCF's Certification Services is three (3) years, subject to conformance to requirements defined in any of the NISCF's Certification Services normative publications.
- 4.1.2.1.4. The period of validity shall be extended by the Certification Body, through Re-Certification, as long as the NISCF's Certification Services subject conforms to Re-Certification requirements of the NISCF's Certification Services normative publications.
 - 4.1.3. NISCF's Certification Services Agreements
- 4.1.3.1.1. The NISCF's Certification Services Agreement shall be signed and communicated to the Certification Body by the applicant as part of the request for NISCF's Certification Services.
- 4.1.3.1.2. The applicant for NISCF's Certification Services is accountable for the NISCF's Certification Services subject conformance to the obligations stated in the NISCF's Certification Services Agreement.
- 4.1.3.1.3. The NISCF's Certification Services Agreement shall be effective and enforced from the date of the formal request made by the applicant for NISCF's Certification Services until the end of NISCF's Certification Services cycle as specified in requirement 4.1.2.1.2.
- 4.1.3.1.4. The applicant for NISCF's Certification Services (i.e., the organization signing the NISCF's Certification Services Agreement) shall be legal person as

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per the law of the land in force where the headquarter of the legal person is located.





4.2. Certification Operation

4.2.1. Application

4.2.1.1. Request for Certification

- 4.2.1.1.1. The applicant to NISCF's Certification Services shall submit a request to the Certification Body, in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.
- 4.2.1.1.2. The request for NISCF's Certification Services shall be submitted by an authorized representative of the applicant.
- 4.2.1.1.3. The request for NISCF's Certification Services shall only cover one of the available NISCF's Certification Service, in a mutually exclusive manner.
- 4.2.1.1.4. The request for NISCF's Certification Services shall include the signed NISCF's Certification Services Agreement by an authorized representative of the applicant as per requirement 4.1.3.1.1.
- 4.2.1.1.5. The request for NISCF's Certification Services shall include all the information required by the Certification Body in conformance with NISCF's Certification Service requested scoping requirements.
- 4.2.1.1.6. The applicant to NISCF's Certification Services shall be solely responsible for conformance with NISCF's Certification Services Agreement, NCSA's developed or adopted Management System publication, scoping requirements and providing evidence during the NISCF's Certification Services operation.
- 4.2.1.1.7. Only valid NISCF's Certification Services requests, in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures, from eligible applicant, at the time of the request will be accepted by the Certification Body.

4.2.1.2. Request review

4.2.1.2.1. For valid NISCF's Certification Services requests, the applicant will be communicated with the signed the NISCF's Certification Services Agreement from the Certification Body.

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- 4.2.1.2.2. The applicant to NISCF's Certification Services will receive a Clarification and Evidence Request from the Certification Body, if needed, with the objective of providing it with a feedback on the unclear or missing information in the request for NISCF's Certification Services.
- 4.2.1.2.3. The applicant to NISCF's Certification Services shall respond to the Certification Body's Clarification and Evidence Request, if any, in a timeline that shall not exceed two (2) months from the date of the request for NISCF's Certification Services.
- 4.2.1.2.4. In conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures, and when the Certification Body decides, after review, that the information provided in the NISCF's Certification Services request are complete and clear or when the defined timeline for submitting the unclear or missing information, as per requirement 4.2.1.2.14.2.1.2.3, as a response to the Certification Body's Clarification and Evidence Request elapses, the applicant to NISCF's Certification Services will receive from the Certification Body a formal acceptance or rejection on its NISCF's Certification Services request.
- 4.2.1.2.5. The scope of a NISCF's Certification Services request will be accepted after that the applicant has completed of all necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.
- 4.2.1.2.6. The scope of accepted NISCF's Certification Services request shall be valid (i.e., being subject to audit) for a period that shall not exceed twelve (12) months from the date of the request for NISCF's Certification Services.

4.2.2. Audit

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4.2.2.1. Requirements on Audit Bodies

- 4.2.2.1.1. Only Accredited Audit Service Provider, through NISCF's Accreditation Services, and / or the Certification Body shall be eligible as Audit Bodies for NISCF's Certification Services related to the NCSA's developed or adopted Management Systems publications.
- 4.2.2.1.2. The engaged Audit Bodies shall plan, execute and report on audits for NISCF's Certification Services, as per the requirements defined in the standards related to the NISCF's Accreditation Services.

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- 4.2.2.1.3. The Certification Body will not take any initial Certification decision on a NISCF's Certification Services request without prior audit(s).
- 4.2.2.1.4. The Certification Body can perform audits, solely or in conjunction with an Accredited Audit Service Provider, for part(s) or the complete scope, with its own resources.

4.2.2.2. **Audit Bodies Engagement**

- 4.2.2.2.1. The applicant to NISCF's Certification Service shall only engage an Accredited Audit Service Provider for the related NCSA's developed or adopted Management System publications, at the moment of the engagement.
- 4.2.2.2.2. The applicant to NISCF's Certification Services shall engage an Accredited Audit Service Provider in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures within a timeline that shall not exceed six (6) months from the formal acceptance of NISCF's Certification Services request by the Certification Body.
- The applicant to NISCF's Certification Services shall communicate to the 4.2.2.2.3. Certification Body, any pre-existing relationships, it and / or the NISCF's Certification Service subject had, retrospectively three (3) years from the NISCF's Certification Service Audit engagement date, or continues to have with Accredited Audit Service Provider engaged.
- 4.2.2.2.4. If the applicant to NISCF's Certification Services decides to engage an Accredited Audit Service Provider for multiple NISCF's Certification Services requests, the applicant shall conform with most restrictive Certification Body's terms and conditions and NISCF's Certification Services policies, standards and procedures for the engagement and ensure conformance with engagement requirement of this standard for all the requests.
- 4.2.2.2.5. For initial NISCF's Certification Service request, the applicant shall engage the Accredited Audit Service Provider for a term that covers the initial Certification Audit and the period of validity of three (3) years of the potential Certificate of Compliance to cover any Maintenance required.
- 4.2.2.2.6. For NISCF's Certification Service Re-Certification request, the applicant shall engage the Accredited Audit Service Provider for a term that covers the

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Re-Certification Audit and the period of validity of three (3) years of the potential Certificate of Compliance to cover any Maintenance required.

- 4.2.2.2.7. The applicant to NISCF's Certification Services shall not engage with an Accredited Audit Service Provider for more than three (3) consecutive terms for the same NISCF's Certification Service scope (including changes through expansion or reduction).
- 4.2.2.2.8. The applicant to NISCF's Certification Services shall not engage with an Accredited Audit Service Provider for more than five (5) consecutive terms regardless of the NISCF's Certification Services.
- 4.2.2.2.9. The applicant to NISCF's Certification Services shall ensure that it contacts Accredited Audit Service Providers and chooses one, sufficiently in advance to conform with requirement <u>4.2.2.2.2</u>, by allowing the Accredited Audit Service Provider to accept the engagement after performing the necessary due diligence to conform with the NISCF's Accreditation Services requirements and requirements <u>4.1.1.2.1</u>, <u>4.1.1.2.2</u> and <u>4.1.1.2.3</u>.
- 4.2.2.2.10. If the Accredited Audit Service Provider chosen rejected the engagement, after performing the necessary due diligence to conform with the NISCF's Accreditation Services requirements and requirements 4.1.1.2.1, the applicant to NISCF's Certification Services shall contact and choose a different Accredited Audit Service Provider to ensure it conform with requirement 4.2.2.2 or report to the Certification Body the inability to do so.
- 4.2.2.2.11. The applicant to NISCF's Certification Services shall manage through a legal agreement(s) with the engaged Accredited Audit Service Provider, the liabilities and responsibilities of the engaged Accredited Audit Service Provider in finding a substitute (an Alternate) Accredited Audit Service Provider, if the Accreditation of the engaged Accredited Audit Service Provider expires, is terminated or withdrawn during the engagement.
- 4.2.2.2.12. In case the applicant to NISCF's Certification Services deems that it is more likely than unlikely that it will not be able to conform with requirement 4.2.2.2.2, it shall formally inform the Certification Body through official communication channels available of the Certification Body and provide the reasons that led the applicant to be unable to conform with the above-stated requirement as well as the planned actions and timeline to complete the engagement activities of an Accredited Audit Service Provider.

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- 4.2.2.2.13. The engaged Audit Bodies shall be responsible for the acceptance due diligence activities related impartiality, independence, objectivity, conflict of interest and any other ethics and conducts requirements as well as pre-audit feasibility verifications related as per the NISCF's Accreditation Services requirements, including but not limited to conformance to requirements 4.1.1.2.1, 4.1.1.2.2 and 4.1.1.2.3.
- 4.2.2.2.14. If the Certification Body deems and evidences that engagement has not been performed in conformance with engagement requirements of this standard, it can interject, stop or cancel an Accredited Audit Service Provider engagement and the applicant and / or Accredited Audit Service Provider shall provide the reasons that led to non-conformance as well as the planned actions and timeline to complete the engagement activities.

4.2.2.3. Planning

- 4.2.2.3.1. The engaged Audit Bodies shall be responsible for the planning of the audit(s) (Initial Certification Audit, Maintenance and any other special audit(s) related to NISCF's Certification Services request as per the NISCF's Accreditation Services requirements, and thus for the part of the scope(s) they have been engaged for.
- 4.2.2.3.2. The applicant to NISCF's Certification Services shall cooperate with the Accredited Audit Service Provider and the Certification Body, and facilitate the planning of the audit(s) as per the requirements defined in the Certification Body terms and conditions, NISCF's Certification Services policies, standards and procedures and the Accredited Audit Service Provider's audit engagement legal agreement and / or NISCF's Certification Services Agreement.

4.2.2.4. Execution

- 4.2.2.4.1. The engaged Audit Bodies shall be responsible for the execution of the audit(s) (Initial Certification Audit, Maintenance and any other special audits) related to NISCF's Certification Services request as per the NISCF's Accreditation Services requirements and the defined plans, and thus for the part of the scope(s) they have been engaged for.
- 4.2.2.4.2. The applicant to NISCF's Certification Services shall provide access to all the information requested by the engaged Audit Bodies and thus as per the requirements defined in the Certification Body terms and conditions, NISCF's

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Certification Services policies, standards and procedures and the Accredited Audit Service Provider's audit engagement legal agreement and / or NISCF's Certification Services Agreement.

- 4.2.2.4.3. The applicant to NISCF's Certification Services shall not object, based on confidentiality concerns, to provide access to information requested by the engaged Audit Bodies that could have, as per the engaged Audit Bodies judgement, material impact on the NISCF's Certification Services scope(s).
- 4.2.2.4.4. The applicant to NISCF's Certification Services shall be responsible for sharing only the necessary information requested by the engaged Audit Bodies and masking the unnecessary information before sharing papers, electronic documents and other records as evidence related to the NISCF's Certification Services audit(s).
- 4.2.2.4.5. The engaged Audit Bodies shall be responsible for gathering sufficient and appropriate evidence for the audit(s) (Initial Certification Audit, Maintenance and any other special audits) related to a NISCF's Certification Services request as per the NISCF's Accreditation Services requirements, and thus for the part of the scope(s) they have been engaged for, to reach the level of assurance required to formulate conclusions regarding the abovementioned scope(s).
- 4.2.2.4.6. The applicant to NISCF's Certification Services shall formally inform and agree with the engaged Audit Bodies of its intensions to resolve, during the audit(s), non-conformities detected, along with the corrective actions plan considering, the Certification Body terms and conditions, NISCF's Certification Services policies, standards and procedures and the ability for the engaged Audit Bodies to complete the audit(s) in conformance with the NISCF's Accreditation Services requirements.
- 4.2.2.4.7. If the applicant to NISCF's Certification Services decides as per requirement 4.2.2.4.6, to resolve non-conformities during the audit(s), it shall be responsible for any delays related for the implementation of the corrective actions plan have on the audit(s), including the additional audit(s) activities that are necessary to be performed by the engaged Audit Bodies to verify conformance of the initial non-conformities as per the NISCF's Accreditation Services requirements, that could lead to non-conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.



4.2.2.4.8. The Accredited Audit Service Provider shall invite the Certification Body to the opening and completion meetings with the applicant NISCF's Certification Services and / or the NISCF's Certification Services subject.

4.2.2.5. Reporting

- 4.2.2.5.1. The engaged Audit Bodies shall be responsible for providing a common and unique audit report to the applicant to NISCF's Certification Services, following the completion meeting, in conformance with the NISCF's Accreditation Services requirements, for each scope(s) they have been engaged for.
- 4.2.2.5.2. The engaged Audit Bodies shall agree with the applicant to NISCF's Certification Services the reporting milestones during the audit(s), in conformance with the Certification Body terms and conditions, NISCF's Certification Services policies, standards and procedures and with the NISCF's Accreditation Services requirements.

4.2.2.6. Independent review

- 4.2.2.6.1. For review of the initial Certification Audit related to a NISCF's Certification Services request, the engaged Audit Bodies shall provide the final audit report to the Certification Body in a timeline that shall not exceed one (1) year from the date of the request for NISCF's Certification Services.
- 4.2.2.6.2. The applicant to NISCF's Certification Services shall inform the Certification Body, without due delays, of any change occurring before or during the audit and subsequent to the NISCF's Certification request acceptance that affect the scope of accepted NISCF's Certification Services request.
- 4.2.2.6.3. The Certification Body will perform a review of the findings and conclusions provided by the engaged Audit Bodies in the audit report and the corrective actions plan for identified non-conformities detected during the audit(s), among other aspects (e.g., changes in the scope, accessibility to appropriate and sufficient audit evidence...), prior to making a NISCF's Certification Services decision.
- 4.2.2.6.4. The applicant to NISCF's Certification Services shall provide access to the Certification Body, upon request, any information and evidence related to the NISCF's Certification Services applicant, subject or scope, within the

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requested delays set by the Certification Body to facilitate the independent review.

4.2.2.6.5. The applicant to NISCF's Certification Services shall provide the Certification with feedback on the engaged Audit Bodies at the end of each audit.

4.2.3. Certification Decision

4.2.3.1. Responsibility of Certification Decision

4.2.3.1.1. The Certification Body will be responsible for Certification decisions and will keep a record of each NISCF's Certification Services decision made and requests for further audit(s) and / or review activities or clarification requested from the engaged Audit Bodies (Accredited Audit Service Provider).

4.2.3.2. Initial Certification Decision

- 4.2.3.2.1. The Certification Body will take the initial Certification Decision after performing the independent review.
- 4.2.3.2.2. When the applicant to NISCF's Certification Services decided as per requirement 4.2.2.4.6, to resolve non-conformities during the audit(s) and the engaged Audit Bodies were not able to perform the additional audit(s) activities that were necessary to verify conformance of the initial non-conformities as per the NISCF's Accreditation Services requirements, leading to the period between the last day of Operating Effectiveness assessment (as per the NISCF's Accreditation Services requirements) and the audit report date to exceed six (6) months; in order to conform with requirement 4.2.1.2.5, the Certification Body can demand further audit(s) and review activities that cover the Operating Effectiveness of the NISCF's Certification Services scope.

4.2.3.3. Initial Certification Award

4.2.3.3.1. The NISCF's Certificate of Compliance will be awarded for a for NISCF's Certification Services applicant for a NISCF's Certification Services request when the Certification Body decides to grant NISCF's Certificate of Compliance, after that the NISCF's Certification Services applicant have completed of all necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.

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- 4.2.3.3.2. The Certification Body will provide the Certified Organization with a NISCF Certificate of Compliance.
 - 4.2.4. Maintenance, Suspension, Reinstatement, Special Audits, Changes affecting the Scope, Scope reduction, Scope expansion, Termination, Withdrawal and Expiry

4.2.4.1. Maintenance

- 4.2.4.1.1. The NISCF's Certification Services related to NCSA's developed or adopted Management Systems publications shall be subject to maintenance.
- 4.2.4.1.2. The maintenance of NISCF's Certificate of Compliance shall be performed at least every year for the period of validity of a Certificate of Compliance for NISCF's Certification Services (based on anniversary date), except for Re-Certification years.
- 4.2.4.1.3. The first maintenance shall start (i.e., audit activities as per the NISCF's Accreditation Services requirements) within a period that does not exceed one (1) year from the initial Certification decision.
- 4.2.4.1.4. The period between the start of two consecutive maintenances shall not exceed one (1) year.
- 4.2.4.1.5. The Certified Organization shall coordinate with the engaged Audit Bodies to allow the maintenance to be performed in conformance with the requirements set in this document, the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.
- 4.2.4.1.6. The Certified Organization shall expect a follow-up from the Certification Body on the progress of the maintenance at least three (3) months before the maximum allowed period for maintenance start as per requirements <u>4.2.4.1.2</u> and <u>4.2.4.1.3</u>. The follow-up does not lift the obligation and accountability of the Certified Organization from conformance to the requirements defined in this standard.
- 4.2.4.1.7. The Certified Organization shall provide access to all the information requested by the engaged Audit Bodies for maintenance purpose and thus as per the requirements defined in the Certification Body terms and conditions, NISCF's Certification Services policies, standards and procedures and the Accredited Audit Service Provider's audit engagement legal agreement and / or NISCF's Certification Services Agreement.

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- 4.2.4.1.8. The engaged Audit Bodies shall be responsible for the acceptance due diligence activities, the planning, execution and reporting of the audit, as respectively defined in sections 4.2.2.2, 4.2.2.3, 4.2.2.4 and 4.2.2.5.
- 4.2.4.1.9. The Certification Body will perform an independent review during the maintenance for an active NISCF's Certificate of Compliance in conformance with the relevant requirements defined in section <u>4.2.2.6</u>.
- 4.2.4.1.10. The Certification Body can, if it deems necessary, carry out any additional audit(s) activities that it deems to be necessary by its own internal resources when the recommendation from the Certification Body's independent reviewer(s) would be to suspend the NISCF's Certificate of Compliance before proceeding with the suspension.
- 4.2.4.1.11. An active NISCF's Certificate of Compliance will be maintained by the Certification Body following the decision to maintain the NISCF's Certificate of Compliance, after that the Certified Organization have completed of all necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.
- 4.2.4.1.12. The period of validity of the NISCF's Certificate of Compliance will not be changed following maintenance.

4.2.4.2. Suspension

- 4.2.4.2.1. An active NISCF's Certification of Compliance can be suspended by the Certification Body, if one of the following situations is met:
 - Non-conformities have been reported during the period of validity, related to the NCSA's developed or adopted Management Systems publications requirements in a manner that would have led the Certification Body to deny the NISCF's Certificate of Compliance if the non-conformities were reported at the initial NISCF's Certification decision;
 - Non-conformities related to the NCSA's developed or adopted Management Systems publications requirements identified and reported during previous NISCF's Certification audit(s) were not resolved as per the corrective actions plan;



- Non-conformities to the Certification Body terms and conditions, NISCF's Certification Services policies, standards and procedures have been identified during the period of validity;
- The Certified Organization and / or subject of the NISCF's Certification Services does not allow and / or facilitate the maintenance or special audit(s) to be performed; or
- The Certified Organization has requested suspension.
- 4.2.4.2.2. The Certified Organization shall provide the Certification Body and the engaged Audit Bodies, the corrective actions plan, in conformance with the NISCF's Certification Services policies, standards and procedures, to resolve the non-conformities and / or situations that led to the suspension within thirty (30) working days¹ from the communication of the suspension decision by the Certification Body.
- 4.2.4.2.3. The Certified Organization shall include in the corrective actions plan detailed corrective activities to resolve the non-conformities and / or situations that led to the suspension, a root-cause analysis and a detailed implementation timeline.
- 4.2.4.2.4. The Certified Organization shall include in the corrective actions plan, if it is not practically or chronologically feasible to implement corrective activities, activities to build preventive controls that have for aim to prevent the re-occurrence of the non-conformities and / or situations that led to the suspension in the first place.
- 4.2.4.2.5. The Certified Organization shall complete the implementation of the corrective actions plan within a timeline that shall not exceed three (3) months from the date of the suspension.
- 4.2.4.2.6. The Certified Organization shall coordinate with the engaged Audit Bodies to perform a special audit for the purpose of reviewing the corrective actions plan and its implementation within ten (10) working days² from the communication of corrective actions plan as per requirement 4.2.4.2.2.
- 4.2.4.2.7. If the period separating the suspension date from the date of end of the period of validity of a Certificate of Compliance for NISCF's Certification

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¹ Excluding National Holidays as declared by Emiri Diwan

² Excluding National Holidays as declared by Emiri Diwan



Services (e.g., Re-Certification) is shorter than six (6) months, then the NISCF's Certificate of Compliance will be suspended until the end of the period of validity and no special audit shall be conducted.

- 4.2.4.2.8. In the situation described in requirement <u>4.2.4.2.7</u>, and if the Certified Organization decides to request for NISCF's Certificate of Compliance period of validity extension through Re-Certification (for NISCF's Certification Service for which allow Re-Certification), the engaged Audit Bodies shall audit the implementation of the corrective actions plan, in conformance with the NISCF's Certification Services policies, standards and procedures and the NISCF's Accreditation Services requirements.
- 4.2.4.2.9. The special audit referred to in requirement <u>4.2.4.2.6</u> shall be completed in a period that shall not exceed one (1) month from the last implementation date as per the corrective actions plan referenced in requirement <u>4.2.4.2.3</u>.
- 4.2.4.2.10. The Certified Organization shall provide access to all the information requested by the engaged Audit Bodies for purpose of auditing the implementation of the Corrective actions plan to resolve the non-conformities that led to the suspension and thus as per the requirements defined in the Certification Body terms and conditions, NISCF's Certification Services policies, standards and procedures and the Accredited Audit Service Provider's audit engagement legal agreement and / or NISCF's Certification Services Agreement.
- 4.2.4.2.11. The engaged Audit Bodies shall be responsible for the acceptance due diligence activities, the planning, execution and reporting of the audit of the implementation of the Corrective actions plan to resolve the non-conformities that led to the suspension, as respectively defined in sections <u>4.2.2.2</u>, <u>4.2.2.3</u>, <u>4.2.2.4</u> and <u>4.2.2.5</u>.
- 4.2.4.2.12. The Certification Body will perform an independent review during the audit of the implementation of the Corrective actions plan to resolve the non-conformities that led to the suspension for a suspended NISCF's Certificate of Compliance in conformance with the relevant requirements defined in section 4.2.2.6.
- 4.2.4.2.13. The Certified Organization shall complete all the necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures related to suspension, if any.

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4.2.4.2.14. The period of validity of the NISCF's Certificate of Compliance will not be changed following suspension.

4.2.4.3. Reinstatement

- 4.2.4.3.1. The reinstatement of a suspended NISCF's Certificate of Compliance by the Certification Body will be completed when a special audit performance is completed by the engaged Audit Bodies to audit the implementation of the corrective actions plan, the Certification Body performed an independent review of the special audit and concluded that the non-conformities and situations that led to the suspension have been resolved.
- 4.2.4.3.2. The reinstatement of a suspended NISCF's Certificate of Compliance by the Certification Body shall be effective only following the decision to reinstate the NISCF's Certificate of Compliance and that the Certified Organization have completed of all necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.
- 4.2.4.3.3. The period of validity of the NISCF's Certificate of Compliance will not be changed following reinstatement.

4.2.4.4. Special audit

- 4.2.4.4.1. The Certification Body have the right to request special audit(s) for an NISCF's Certificate of Compliance to:
 - Investigate a complaint;
 - Audit the corrective actions plan and its implementation during the suspension of the NISCF's Certificate of Compliance;
 - Respond to a request to expand the scope of an active NISCF's Certificate of Compliance;
 - Verify conformance of NISCF's Certificates of Compliance to changes introduced by the Certification Body (new or updated requirements) to existing NISCF's Certification Services; and
 - Any other situations that requires the Certification Body to perform an audit that is not covered by the defined audit(s) (i.e., initial Certification audit, maintenance and Re-Certification audit).

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- 4.2.4.4.2. The Certified Organization shall ensure that the special audit related to the correction action plans and its implementation of a suspended NISCF's Certificate of Compliance as per requirement 4.2.4.2.6, shall be completed and on reported on within one (1) month from the last implementation date as per the timeline of the corrective action.
- 4.2.4.4.3. The Certified Organization shall provide access to all the information requested by the engaged Audit Bodies for purpose of special audit(s) and thus as per the requirements defined in the Certification Body terms and conditions, NISCF's Certification Services policies, standards and procedures and the Accredited Audit Service Provider's audit engagement legal agreement and / or NISCF's Certification Services Agreement.
- 4.2.4.4.4. The engaged Audit Bodies shall be responsible for the acceptance due diligence activities, the planning, execution and reporting of special audit(s), as respectively defined in sections <u>4.2.2.2</u>, <u>4.2.2.3</u>, <u>4.2.2.4</u> and <u>4.2.2.5</u>.
- 4.2.4.4.5. The Certification Body will perform an independent review during the special audit(s) in conformance with the relevant requirements defined in section <u>4.2.2.6</u>.
- 4.2.4.4.6. The Certified Organization shall complete all the necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures related to special audit(s), if any.

4.2.4.5. Changes affecting the Scope

- The Certified Organizations and / or applicants to NISCF's Certification 4.2.4.5.1. Services shall communicate to the Certification Body and / or to the engaged Audit Bodies, any changes that may materially affect the scope³ of a NISCF's Certification of Compliance and / or a NISCF's Certification Services request, without due delay.
- 4.2.4.5.2. Based on the changes referred to in requirement 4.2.4.5.1 or when changes are introduced (new or updated requirements) by the Certification Body to existing NISCF's Certification Services, the Certified Organizations impacted by the change and / or the applicants to NISCF's Certification

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³ The scope terminology is used in its broader sense that includes all the information in the scope requirements of the NISCF's Certification Services and / or mentioned or will be mentioned in the NISCF's Certificate of Compliance.



Services shall, taking into account the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures:

- Assess the impact of the change on existing (active or suspended) NISCF's Certificate of Compliance and on-going NISCF's Certification Services requests (initial or Re-Certification) and communicate it to the Certification Body; and
- Provide the Certification Body with the actions to be taken by the Certified Organizations and / or applicants to NISCF's Certification Services in order to conform to the new or updated requirements⁴ and the associated timeline.
- 4.2.4.5.3. The Certification Body will communicate to the Certified Organizations impacted by the change and / or the applicants to NISCF's Certification Services the means by which conformance to the new or updated requirements will be verified (e.g., Initial Certification audit, maintenance, special audit(s)...).
- 4.2.4.5.4. If following the change review by the Certification Body, the NISCF's Certification Services cycle was not ended, the NISCF's Certificate of Compliance or NISCF's Certification Services request shall continue as if the change did not occur, taking into consideration the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.

4.2.4.6. Scope reduction

- 4.2.4.6.1. The Certification Body can reduce the scope of a suspended NISCF's Certification of Compliance, if the non-conformities that led to the suspension of the NISCF's Certification of Compliance have not been resolved as per the corrective actions plan in terms of effectiveness and / or timing and the non-conformities are isolated in a limited part of the scope in a manner that the non-conformities do not impact the remaining scope after reduction.
- 4.2.4.6.2. The scope of a NISCF's Certificate of Compliance will be reduced by the Certification Body after that the Certified Organization have completed of all necessary administrative procedures in conformance with the

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⁴ The requirement terminology is used in its broader sense that includes also policy statements, general rules, processes activities, procedures tasks, terms and conditions and any other rules or conditions that the stakeholders to the NISCF's Certification Services shall or should adhere, conform and comply to.



Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures, otherwise the Certification Body can proceed with the suspension or withdrawal.

- 4.2.4.6.3. The period of validity of the NISCF's Certificate of Compliance will not be changed following scope reduction.
- 4.2.4.6.4. The NISCF's Certificate of Compliance shall be updated following scope reduction to reflect the changes.

4.2.4.7. Scope expansion

- 4.2.4.7.1. The Certified Organization can request for a scope expansion for an active NISCF's Certificate of Compliance.
- 4.2.4.7.2. The Certified Organization requesting for scope expansion of an active NISCF's Certificate of Compliance shall provide the Certification Body with justification scope expansion and rationale for not applying for an isolated NISCF's Certification Services request for the additional scope subject of the scope expansion request.
- 4.2.4.7.3. The Certified Organization requesting for scope expansion of an active NISCF's Certificate of Compliance shall submit the request in conformance with requirements 4.2.1.1.1, 4.2.1.1.2, 4.2.1.1.3 and 4.2.1.1.5.
- 4.2.4.7.4. The requests for scope expansion of an active NISCF's Certificate of Compliance shall only be submitted to the Certification Body when:
 - No maintenance or special audit(s) started or are planned to start within three (3) months; and
 - The NISCF's Certificate of Compliance is not in its Re-Certification process.
- 4.2.4.7.5. The Certification Body will review the request for scope expansion of an active NISCF's Certificate of Compliance as per the relevant requirements defined in section 4.2.1.2.
- 4.2.4.7.6. When the Certification Body accepts the request for scope expansion of an active NISCF's Certificate of Compliance, it will inform the Certified Organization and / or the engaged Audit Bodies, if the audit for the additional scope shall be performed as part of the first upcoming maintenance or as part of a special audit.

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- 4.2.4.7.7. The Certified Organization shall provide access to all the information requested by the engaged Audit Bodies for purpose of the audit related to the scope expansion request for an active NISCF's Certificate of Compliance and thus as per the requirements defined in the Certification Body terms and conditions, NISCF's Certification Services policies, standards and procedures and the Accredited Audit Service Provider's audit engagement legal agreement and / or NISCF's Certification Services Agreement.
- 4.2.4.7.8. The engaged Audit Bodies shall be responsible for the acceptance due diligence activities, the planning, execution and reporting of the audit related to the scope expansion request for an active NISCF's Certificate of Compliance, determined as per requirement 4.2.4.7.6, as respectively defined in sections 4.2.2.2, 4.2.2.3, 4.2.2.4 and 4.2.2.5.
- 4.2.4.7.9. The Certification Body will perform an independent review during the audit related to the scope expansion request for an active NISCF's Certificate of Compliance in conformance with the relevant requirements defined in section 4.2.2.6.
- 4.2.4.7.10. The scope of an active NISCF's Certificate of Compliance will be expanded following the decision to expand the scope of the NISCF's Certificate of Compliance and that the Certified Organization have completed of all necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.
- 4.2.4.7.11. The period of validity of the NISCF's Certificate of Compliance will not be changed following scope expansion.
- 4.2.4.7.12. The NISCF's Certification Services Agreement, referred to in section <u>4.1.3</u>, shall be amended to consider the scope expansion.
- 4.2.4.7.13. The NISCF's Certificate of Compliance shall be updated following scope expansion.

4.2.4.8. Termination

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4.2.4.8.1. Only the Certified Organization can request the termination of an active or suspended NISCF's Certificate of Compliance that it holds by the Certification Body.

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- 4.2.4.8.2. The Certified Organization requesting for termination of an active or suspended NISCF's Certificate of Compliance shall provide the Certification Body with justification for the termination.
- 4.2.4.8.3. The Certified Organization requesting for termination of an active or suspended NISCF's Certificate of Compliance can retract its request for termination, as long as the termination decision is not taken by the Certification Body, non-withstanding the communication of the decision.
- 4.2.4.8.4. When the Certified Organization retracts the termination request as defined in requirement 4.2.4.8.3, it shall provide the Certification Body with justification and the Certification Body can ignore the request to retract and continue with the termination process.
- 4.2.4.8.5. The Certification Body will review the justification provided in the NISCF's Certificate of Compliance termination request and assess if it possible to suspend or reduce the scope of the NISCF's Certificate of Compliance instead of termination.
- 4.2.4.8.6. If Certified Organization agrees to the suspension or scope reduction of the NISCF's Certificate of Compliance, based on the Certification Body's suggestion as per requirement 4.2.4.8.44.2.4.8.5, the suspension or scope reduction shall be performed in conformance in requirements defined respectively in sections 4.2.4.2 and 4.2.4.6.
- 4.2.4.8.7. In the situation described in requirement 4.2.4.8.6, the Certified Organization shall retract its request for termination in conformance with requirement <u>4.2.4.8.3</u>.
- 4.2.4.8.8. When the Certified Organization retracts its request for termination as per requirement 4.2.4.8.7, the Certification Body will accept the retraction non-withstanding 4.2.4.8.4.
- 4.2.4.8.9. An active or suspended NISCF's Certificate of Compliance will be terminated by the Certification Body as per the Certified Organization's termination request after completion of all necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.
- The period of validity of the NISCF's Certificate of Compliance shall end 4.2.4.8.10. from the date of the decision to terminate the NISCF's Certificate of Compliance.

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- 4.2.4.8.11. The Certified Organization shall provide the Certification Body the actions it will take to ensure that it will no longer refer to itself as "Certified Organization" and no longer use the NISCF's Certification Services symbols for the scope of the terminated NISCF's Certificate of Compliance, that shall be acted within ten (10) working days⁵ from the communication of the termination decision by the Certification Body.
- 4.2.4.8.12. The Certified Organization shall complete all the necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures related to termination, if any.

4.2.4.9. Withdrawal

- 4.2.4.9.1. A suspended NISCF's Certification of Compliance will be withdrawn by the Certification Body, if one of the following situations is met:
 - The non-conformities that led to the suspension of the NISCF's Certification of Compliance have not been resolved as per the corrective actions plan in terms of effectiveness and / or timing;
 - Non-conformities to the Certification Body terms and conditions, NISCF's Certification Services policies, standards and procedures have been identified during the period of validity; or
 - The Certified Organization and / or subject of the NISCF's Certification Services does not allow and / or facilitate special audit(s) to be performed as per requirements 4.2.4.2.6, 4.2.4.2.8 and 4.2.4.2.9.
- 4.2.4.9.2. The period of validity of the NISCF's Certificate of Compliance shall end from the date of the decision to withdraw the NISCF's Certificate of Compliance.
- 4.2.4.9.3. The Certified Organization shall provide the Certification Body the actions it will take to ensure that it will no longer refer to itself as "Certified Organization" and no longer use the NISCF's Certification Services symbols for the scope of the withdrawn NISCF's Certificate of Compliance, that shall be

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acted within ten (10) working days⁶ from the communication of the withdrawal decision by the Certification Body.

4.2.4.9.4. The Certified Organization shall complete all the necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures related to withdrawal, if any.

4.2.4.10. Expiry

- 4.2.4.10.1. The NISCF's Certificate of Compliance shall expire when:
 - The period of validity of a Certificate of Compliance for NISCF's Certification Services ends and the Certified Organization has not applied for Re-Certification; or
 - The period of validity of a Certificate of Compliance for NISCF's Certification Services ends, the Certified Organization has applied for Re-Certification but activities defined in requirements <u>4.2.5.1.6</u> and <u>4.2.5.1.7</u>, have not been completed as per requirement <u>4.2.5.1.8</u> and the Certification Body decided to not grant an extension to complete the unfinished activities as per requirement <u>4.2.5.1.10</u>.
- 4.2.4.10.2. The Certified Organization shall provide the Certification Body the actions it will take to ensure that it will no longer refer to itself as "Certified Organization" and no longer use the NISCF's Certification Services symbols for the expired NISCF's Certificate of Compliance, that shall be acted within ten (10) working days⁷ from the communication of the withdrawal decision by the Certification Body.

4.2.5. Re-Certification

4.2.5.1.1. The Certified Organization can request for extending the period of validity of a NISCF's Certificate of Compliance, through Re-Certification request.

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⁷ Excluding National Holidays as declared by Emiri Diwan



- 4.2.5.1.2. The Certified Organization requesting for Re-Certification of a NISCF's Certificate of Compliance shall submit the request in conformance with requirements 4.2.1.1.1, 4.2.1.1.2, 4.2.1.1.3 and 4.2.1.1.5.
- 4.2.5.1.3. The Certified Organization shall submit a request to the Certification Body for Re-Certification of a NISCF's Certificate of Compliance only during the Re-Certification years and only after completion (i.e., decision issued by the Certification Body) of the last planned maintenance, or special audit(s) at the moment of the request, for the period of validity.
- 4.2.5.1.4. The Certification Body will review the request for Re-Certification of a NISCF's Certificate of Compliance as per the relevant requirements defined in section 4.2.1.2.
- 4.2.5.1.5. The Certified Organization shall engage an Audit Body in conformance with the relevant requirements defined in sections 4.2.2.24.2.21 and 4.2.2.2.
- 4.2.5.1.6. The engaged Audit Bodies shall be responsible for the acceptance due diligence activities, the planning, execution and reporting of the audit, as respectively defined in sections 4.2.2.2, 4.2.2.3, 4.2.2.4 and 4.2.2.5.
- 4.2.5.1.7. The Certified Organization shall provide access to all the information requested by the engaged Audit Bodies for purpose Re-Certification and thus as per the requirements defined in the Certification Body terms and conditions, NISCF's Certification Services policies, standards and procedures and the Accredited Audit Service Provider's audit engagement legal agreement and / or NISCF's Certification Services Agreement.
- 4.2.5.1.8. The activities related to requirements <u>4.2.5.1.6</u> and <u>4.2.5.1.7</u>, including the implementation of corrective action plan if any, shall be completed prior to the expected end of the period of validity of the NISCF's Certificate of Compliance and not prior to three (3) months from the expected end of the period of validity of the NISCF's Certificate of Compliance.
- 4.2.5.1.9. The Certification Body will perform an independent review during Re-Certification in conformance with the relevant requirements defined in section 4.2.2.6.
- 4.2.5.1.10. If the conditions set in requirement <u>4.2.5.1.8</u> are not fulfilled, the Certification Body can grant up to six (6) months extension to complete the unfinished activities at the date of the end of the period of validity of the NISCF's Certificate of Compliance.

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- 4.2.5.1.11. The Re-Certification of a NISCF's Certificate of Compliance will be awarded by the Certification Body following the decision to Re-Certify the NISCF's Certificate of Compliance and that the Certified Organization have completed of all necessary administrative procedures in conformance with the Certification Body terms and conditions and NISCF's Certification Services policies, standards and procedures.
- 4.2.5.1.12. The period of validity of the NISCF's Certificate of Compliance shall be updated following Re-Certification is conformance with relevant requirements from section 4.1.2.
- 4.2.5.1.13. The NISCF's Certification Services Agreement, referred to in section <u>4.1.3</u>, shall be amended to consider the Re-Certification.
- 4.2.5.1.14. The NISCF's Certificate of Compliance shall be updated following Re-Certification.
- 4.2.5.1.15. When the Re-Certification is completed before the expected end of the period of validity of the NISCF's Certificate of Compliance as per requirement 4.2.5.1.11, or when the conditions set in requirement 4.2.5.1.8 are fulfilled but the Re-Certification is completed after the expected end of the period of validity of the NISCF's Certificate of Compliance, the effective date of the updated NISCF's Certificate of Compliance shall be the Re-Certification decision date, and the end of the period of validity of the updated NISCF's Certificate of Compliance, as per requirement 4.2.5.1.14, shall be the date end of the period of validity of the NISCF's Certificate of Compliance prior to update complemented by the period of validity for the NISCF's Certification Services as defined in requirement 4.1.2.1.3.

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4.3. Complaint and Appeal

4.3.1. Complaint

4.3.1.1.1. Complaints related to NISCF's Certification Services shall be received and handled by the Certification Body as per the NISCF's Complaints Policy and procedures.

4.3.2. Appeal

4.3.2.1.1. Appeals related to NISCF's Certification Services decision shall be received and handled by the Certification Body, in collaboration with the individuals and bodies trusted with the appeal duties within the National Cyber Security Agency (NCSA), as per the NISCF's Appeals Policy and procedures.



5. Compliance and Enforcement

5.1. Compliance Process

All stakeholders to the NISCF Certification Services shall conform with the requirements defined in this standard.

5.2. Roles and Responsibilities

National Cyber Governance and Assurance Affairs (NCGAA) is responsible for enforcing and monitoring conformance to this standard.

5.3. Transitioning and effective date

5.3.1. Effective date

This standard is effective from January 1, 2024.

5.3.2. Transition period

NISCF's Certification Services requests made and NISCF's Certificates of Compliance issued before the effective date of this standard are not subject to this standard until the Re-Certification stage.

Applicants to NISCF's Certification Services and holders of NISCF's Certificate of Compliance described in the previous paragraph can voluntarily conform with the requirements defined in this standard before the Re-Certification stage.

5.4. Exceptions and deviations

5.4.1. Exceptions to Standard Requirements

Exceptions to this standard shall only be defined by the National Cyber Security Agency (NCSA) through another policy or standard and / or any NCSA's organizational structure that has been given the authority over the NISCF or the Certification Services.

5.4.2. Deviation process from Standard Requirements

Deviation from standard requirement shall be formally authorized in writing by the National Cyber Security Agency (NCSA).

5.4.3. Sanctions

National Cyber Security Agency (NCSA) reserves the right to not accept NISCF Certification Services requests and / or suspend or withdraw Certificates of

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Compliance or any other Certificates, Credentials or Licenses provided by NCSA from NISCF Certification Services stakeholders that do not conform with the requirements defined in this Standard.

National Cyber Security Agency (NCSA) reserves the right to impose any monetary or procedural sanctions in virtue of the authority that has been granted to NCSA, though laws and regulations, on NISCF Certification Services stakeholders that do not conform with the requirements defined in this Standard.





6. Annexes

6.1. Acronyms

AAEEBs Audit, Assessment, Evaluation and Examination Bodies.

NCGAA National Cyber Governance and Assurance Affairs.

NCSA National Cyber Security Agency.

NISCF National Information Security Compliance Framework.

6.2. Reference

Emiri Decree No 1 of year 2021

President of National Cyber Security Agency (NCSA) Decision No 3 of year 2022

NCSA-NISCF-CERT-GTXD (General Taxonomy Document for National Certification - Public)

NCSA-NISCF-CERT-GPNC (General Policy for National Certification - Public)



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