

| Finding Nr./ Auditor ID/ Date | Finding | Element | Cat | Focus area | Organisation's Results of Investigation and Actions Taken within 13 weeks, to be send by mail to the Lead Auditor and verification | Status by DNV: Open Accepted Closed |
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| PA1/01/ MWW/14 -01-2014 | <p>Requirement: Control of records. Records shall be established and maintained to provide evidence of conformity to requirements and the effective operation of the ISMS. They shall be protected and controlled. The ISMS shall take account of any relevant legal or regulatory requirements and contractual obligations. Records shall remain legible, readily identifiable and retrievable. The controls needed for the identification, storage, protection, retrieval, retention time and disposition of records shall be documented and implemented.</p> <p>Failure: Not all controlled P files contain an ID.</p> <p>Evidence: P-file and statement auditees.</p> | ISO 27001 4.3.3 | 2 | | <p>Correction: Add copies of missing ID's to the relevant personnel files.</p> <p>Cause: Procedure for new employees was not entirely clear with regards to the registration of people under contract with the parent company and therefore not followed correctly.</p> <p>Corrective action: We have added copies of all ID's to the relevant personnel files. Management has decided that all active personnel, regardless of their employment (via the parent company or via XL Internet Services BV) shall be registered in the personnel file.</p> <p>Verification: Jolanda de Boom, our HR manager, has personally checked all personnel files. See PDF of e-mail sent.</p> <p>MWW 05-03-2014:</p> | accepted |
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Non Conformity: 1 = NC 1, 2 = NC 2, O = Observation

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| | | | | | As seen above. Finding acceptable. Further implementation to be reviewed during the next audit | |
| PA1/02/MWW/14-01-2014 | <p>Requirement: All employees of the organization and, where relevant, contractors and third party users shall receive appropriate awareness training and regular updates in organizational policies and procedures, as relevant for their job function.</p> <p>Failure: Awareness is not given detectable.</p> <p>Evidence: Statement auditees.</p> | ISO 27001 A.8.2.2 | 2 | | <p>Correction: CloudVPS shall organize internal and external training sessions related to the various activities within CloudVPS. Evidence will be collected and stored centrally.</p> <p>Cause: A lack of proper registration of evidence and no proper training calendar were the root cause of this NC.</p> <p>Corrective action: A calendar has been created and evidence will be collected in the AuditArchive@cloudvps.com mailbox. Relevant documentation will be stored in the intranet.</p> <p>Verification: Attached is the calendar for 2014 as well as the slides of the first session and the accompanying presence registration sheet.</p> <p>MWW 05-03-2014:</p> | accepted |

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| PA1/03/ MWW/14 -01-2014 | <p>Requirement: In accordance with health and safety legislation, every company with employees must perform an RI & E.</p> <p>Failure: There is no occupational health RI & E conducted.</p> <p>Evidence: Statement auditees.</p> | ARBO Legislati on | 2 | | <p>Correction: Perform an RI&E and create a calamity plan</p> <p>Cause: Oversight which went unnoticed</p> <p>Corrective action: We have performed an RI&E and created a calamity plan. We have also officially appointed internal first aid responders</p> <p>Verification: Attached are the RI&E scan as well as the calamity plan</p> <p>MWW 05-03-2014: As seen above. Finding acceptable. Further implementation to be reviewed during the next audit</p> | accepted |
| PA1/04/ MWW/14 -01-2014 | <p>Requirement: The board should review the ISMS at planned intervals.</p> | NEN 7510 4.5.3 | 2 | | <p>Correction: Review the NEN7510 controls. Determine the impact of the changes made to the</p> | accepted |

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| | <p>Failure: Not all NEN7510 controls are demonstrably reviewed.</p> <p>Evidence: Statement COO.</p> | | | | <p>ISMS in 2013.</p> <p>Cause: Not enough attention was paid with regards to the registration of the impactanalysis towards NEN7510. The focus of our documentation was ISO27001.</p> <p>Corrective action: Explicitly describe the impact of changes to the ISMS for NEN7510 as well as review the NEN7510 controls.</p> <p>Verification: Please find attached a document describing the impact of all changes to the ISMS wrt NEN7510, as well as a review of the NEN7510 controls.</p> <p>MWW 05-03-2014: As seen above. Finding acceptable. Further implementation to be reviewed during the next audit</p> | |
| PA1/05/MWW/14-01-2014 | <p>Observation: Logging of the restore procedure is not always possible.</p> | ISO 27001 A.10.5.1 | O | | <p>Correction: Where possible log all restore procedures</p> | accepted |

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| | | | | | <p>Cause: Some restore procedures are performed automatically as part of the software used and cannot be logged. Manual restore actions can be logged however.</p> <p>Corrective action: Where possible, explicitly log restore procedures. If needed, plan a test restore of critical systems at least once a year. Contact vendors to determine possibility of adding logging options to new versions of software.</p> <p>Test restore actions of critical systems have been added to the action list of the appropriate staff</p> <p>Verification: Please find attached the work list of one of the staff</p> <p>MWW 05-03-2014: As seen above. Finding acceptable. Further implementation to be reviewed during the next audit</p> | |

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| IA/01/ MWW/31 -01-2013 | <p>Requirement: The input to a management review shall include: b) feedback from interested parties;</p> <p>Failure: Not all stakeholder feedback is included in the management review</p> <p>Evidence: Management review and statement auditees.</p> | ISO 27001 7.2.b | 2 | | <p>Correction: CloudVPS has defined a method for determining quantitative customer feedback, based on which CloudVPS created a questionnaire which was then immediately sent out to the relevant customer groups. Within three days 60% of the interviewees responded. The response was then used for an impromptu management review. The management review led to the conclusion that the defined fields of improvement did not need changing.</p> <p>Cause: Cause was determined to be a lack of quantitative analysis regarding customer feedback.</p> <p>Corrective action: A procedure for gathering quantitative customer feedback has been defined. The Management Review will include the results from this procedure.</p> <p>MWW 06-02-2013: As seen above. Finding acceptable. Further implementation to be reviewed during the</p> | Closed |
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| | | | | | next audit. MWW 13-01-2014: Management review includes all required parts. Finding closed. | |
| IA/02/MWW/31-01-2013 | <p>Requirement: The organization shall ensure that all personnel who are assigned responsibilities defined in the ISMS are competent to perform the required tasks by: d) maintaining records of education, training, skills, experience and qualifications (see 4.3.3).</p> <p>Failure: Not all followed training of employees are recorded in the P-file.</p> <p>Evidence: P-file and statement auditees.</p> | ISO 27001 5.2.2 | 2 | | <p>Correction: All personnel have sent in their resumés as well as copies of relevant educational records. These have been added to the personnel dossier. As per 31th of january a 100% score has been established.</p> <p>Cause: CloudVPS does not consider university degrees an important asset for personnel nor a requirement for necessity, so no proof was being asked as part of the hiring process.</p> <p>Corrective action: The hiring process has been updated to include the request for copies of educational records as well as a resumé.</p> <p>MWW 06-02-2013: As seen above. Finding acceptable. Further implementation to be reviewed during the next audit.</p> <p>MWW 13-01-2014:</p> | Closed |

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| | | | | | All P-files contains recorded followed training of employees. | |

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