



MDIA
Malta Digital Innovation Authority

Notification to Upgrade to Enhanced Systems Auditor Application Form

Name of Systems Auditor

(Company registered name)

Notification to Upgrade to Enhanced Systems Auditor Application Form Initials _____

30 July 2019

Instructions for completion

- The completed and signed form in original must reach the Malta Digital Innovation Authority (MDIA). For processing purposes, a scanned version of the Application Form and attachments can be initially sent to applications@mdia.gov.mt while the original copy is in post/transit.
- Applicant must sign the form in the space provided and initial every page of the form and attachments.
- All submissions must be in English. Documents provided in other languages must have an English translation attached thereto. The translation should be dated, signed and certified by an independent person of proven competence, confirming the integrity of the translation.
- Use N/A in response to any question which is not applicable.
- Where indicated, provide answers in a separate Appendix to the form. Appendices are to be duly labelled and cross referred to in the corresponding section of the form. If an appendix covers more than one question, answers are to clearly include the corresponding question number. The person legally authorised to represent the applicant and signing this form must initial ALL pages and the appendices.
- The MDIA reserves the right to request additional information. Failure to provide any information when requested by the MDIA may result in the application being delayed or determined based on the information available to the MDIA at the time, which may affect the outcome of the application.
- It is the Enhanced Systems Auditor's responsibility to advise the MDIA immediately of any changes to the information provided in this Application Form. Failure to do so could result in suspension or revocation of the relevant recognition.
- Any misrepresentation in completing this form may render void the attached Notification to Upgrade to Enhanced Systems Auditor Application Form. If any enclosures are not submitted, rationale for non-submission needs to be provided.
- This form shall not be accepted unless all relevant sections have been completed and the required documents have submitted in full.

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1. Applicant Details

This application is applicable for already registered Systems Auditors that would like to upgrade their Certification to be considered as 'Enhanced System Auditors (ESA)'. If you are a new applicant and do not have certification from MDIA, you would need to fill in the 'Service Provider Form'. Please refer to the 'Enhanced Systems Audit/or Guidelines' for further details.

1.1 MDIA Registered Systems Auditor Name

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1.2 MDIA Certificate Recognition Number

1.3 Date Certificate Issued

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2. Requirements

In order to be recognised as an Enhanced Systems Auditor, certified System Auditors must provide documentation that confirms the following:

	Yes	N/A	Appendix Ref No.
<p>The Systems Auditors is part of a legal organisation;</p> <p>i. which employs at least 100 persons; and</p> <p>ii. with an annual revenue of at least €5,000,000 at least once over the previous three (3) years.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>The Subject Matter Experts (SME) have suitable aggregate experience in Innovative Technology Arrangements:</p> <p>i. in the fields that would be subject to audit not less than four (4) years gathered during the last three (3) years.</p> <p>ii. at least one SME must have gathered not less than two (2) years experience in the domain over the last four (4) years. Such experience must be corroborated with references of past engagements carried out with established and reputable entities as may be deemed fit by the Authority.</p> <p>Should this involve a change in the Subject Matter Experts already present in application, fill in the application 'Change in Subject Matter Expert Form'.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>Professional Indemnity Insurance (PII) policy for an amount of not less than €5,000,000 of cover.</p>	<input type="checkbox"/>	<input type="checkbox"/>	

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3. Declarations

I, _____ holder of Identity Card/ Passport Number _____

and residing at _____

declare that I have personally completed this 'Notification to Upgrade to Enhanced Systems Auditor Application Form' to which this Declaration is appended and that I also declare that I am duly authorised to represent the applicant.

I hereby certify that all the information provided and all the statements contained in and attached to this Application Form are correct, accurate, complete and true to the best of my knowledge, information and belief, and that there are no other facts relevant to this Application Form of which the Malta Digital Innovation Authority (MDIA) should be made aware.

I confirm that I understand that knowingly or recklessly making a false statement to the MDIA may be tantamount to a criminal offence. I understand that misinterpretation or failure to submit any information requested by the MDIA shall be deemed as good and sufficient cause for a refusal to issue the Recognition being applied for or an eventual revocation if such misinterpretation or failure is discovered at a later stage.

I undertake that should the information provided in relation to this Application Form cease to be correct, or if there are any changes in the information provided in the Application Form, I shall advise the MDIA immediately thereof. I understand that failure to do so could result in any Recognition issued being reviewed and possibly suspended or revoked.

I hereby declare that there is no other information which the MDIA should be made aware of and I have not withheld or misinterpreted any material facts.

The Malta Digital Innovation Authority (MDIA) is a data controller under the terms of the Data Protection Act. (Cap. 586 of the Laws of Malta). I understand that the information provided on this form or attached herewith will be processed for the purposes necessary for the MDIA to carry out its functions and meet its legal obligations.

I understand that the data may be shared with third parties who fulfil a service on behalf of and under the express instruction of the MDIA and other bodies where it is necessary to do so in order to carry out the MDIA's functions and where the MDIA is legally required or permitted to do so.

I understand that any material or information which I provide to the MDIA will be treated as confidential and will only be disclosed to others where it is necessary to do so in order to carry out the MDIA's functions or where the MDIA is required by law to disclose the information.

I understand that the Authority may carry out quality reviews of registered Enhanced Systems Auditors and in the process require access to documentation from the Enhanced Systems Auditor including documentation supporting the Enhanced Systems Audit process and related quality procedures.

By signing this declaration, I am agreeing to all of the above statements.

Signed: _____
for and on behalf of Applicant

Name: _____

Position: _____

Date: _____

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4. Notes

Certification of Documents

Where documents are to be certified as true copies, certification must be carried out by an independent natural person authorised to do so under the laws of an EU/EEA jurisdiction or other jurisdiction approved by the MDIA, such as a legal professional, accountancy professional or a notary. The certifier must make a written statement in the English Language confirming that:

- the document is a true copy of the original document;
- the document has been seen and verified by the certifier; and
- the photo is a true likeness of the individual, where applicable.

Furthermore, the certifier must sign and date the copy document (indicating his name clearly beneath the signature) and clearly indicate his profession, designation or capacity on it and provide his contact details.

If the document is composed of more than one page the certifier can either:

- a. Certify each page individually; or
- b. Certify the top of the first page and add a statement detailing the number of pages of the original documentation seen.