

First edition
2019-08

Security techniques — Extension to ISO/IEC 27001 and ISO/IEC 27002 for privacy information management — Requirements and guidelines

*Techniques de sécurité — Extension d'ISO/IEC 27001 et ISO/IEC
27002 au management de la protection de la vie privée — Exigences
et lignes directrices*



Reference number
ISO/IEC 27701:2019(E)

© ISO/IEC 2019



COPYRIGHT PROTECTED DOCUMENT

© ISO/IEC 2019

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Fax: +41 22 749 09 47
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

This is a preview of "ISO/IEC 27701:2019". Click here to purchase the full version from the ANSI store.

Contents

	Page
Foreword	vi
Introduction	vii
1 Scope	1
2 Normative references	1
3 Terms, definitions and abbreviations	1
4 General	2
4.1 Structure of this document.....	2
4.2 Application of ISO/IEC 27001:2013 requirements.....	2
4.3 Application of ISO/IEC 27002:2013 guidelines.....	3
4.4 Customer.....	4
5 PIMS-specific requirements related to ISO/IEC 27001	4
5.1 General.....	4
5.2 Context of the organization.....	4
5.2.1 Understanding the organization and its context.....	4
5.2.2 Understanding the needs and expectations of interested parties.....	5
5.2.3 Determining the scope of the information security management system.....	5
5.2.4 Information security management system.....	5
5.3 Leadership.....	5
5.3.1 Leadership and commitment.....	5
5.3.2 Policy.....	5
5.3.3 Organizational roles, responsibilities and authorities.....	5
5.4 Planning.....	6
5.4.1 Actions to address risks and opportunities.....	6
5.4.2 Information security objectives and planning to achieve them.....	7
5.5 Support.....	7
5.5.1 Resources.....	7
5.5.2 Competence.....	7
5.5.3 Awareness.....	7
5.5.4 Communication.....	7
5.5.5 Documented information.....	7
5.6 Operation.....	7
5.6.1 Operational planning and control.....	7
5.6.2 Information security risk assessment.....	7
5.6.3 Information security risk treatment.....	7
5.7 Performance evaluation.....	8
5.7.1 Monitoring, measurement, analysis and evaluation.....	8
5.7.2 Internal audit.....	8
5.7.3 Management review.....	8
5.8 Improvement.....	8
5.8.1 Nonconformity and corrective action.....	8
5.8.2 Continual improvement.....	8
6 PIMS-specific guidance related to ISO/IEC 27002	8
6.1 General.....	8
6.2 Information security policies.....	8
6.2.1 Management direction for information security.....	8
6.3 Organization of information security.....	9
6.3.1 Internal organization.....	9
6.3.2 Mobile devices and teleworking.....	10
6.4 Human resource security.....	10
6.4.1 Prior to employment.....	10
6.4.2 During employment.....	10
6.4.3 Termination and change of employment.....	11

This is a preview of "ISO/IEC 27701:2019". Click here to purchase the full version from the ANSI store.

6.5	Asset management	11
6.5.1	Responsibility for assets	11
6.5.2	Information classification	11
6.5.3	Media handling	12
6.6	Access control	13
6.6.1	Business requirements of access control	13
6.6.2	User access management	13
6.6.3	User responsibilities	14
6.6.4	System and application access control	14
6.7	Cryptography	15
6.7.1	Cryptographic controls	15
6.8	Physical and environmental security	15
6.8.1	Secure areas	15
6.8.2	Equipment	16
6.9	Operations security	17
6.9.1	Operational procedures and responsibilities	17
6.9.2	Protection from malware	18
6.9.3	Backup	18
6.9.4	Logging and monitoring	18
6.9.5	Control of operational software	19
6.9.6	Technical vulnerability management	20
6.9.7	Information systems audit considerations	20
6.10	Communications security	20
6.10.1	Network security management	20
6.10.2	Information transfer	20
6.11	Systems acquisition, development and maintenance	21
6.11.1	Security requirements of information systems	21
6.11.2	Security in development and support processes	22
6.11.3	Test data	23
6.12	Supplier relationships	23
6.12.1	Information security in supplier relationships	23
6.12.2	Supplier service delivery management	24
6.13	Information security incident management	24
6.13.1	Management of information security incidents and improvements	24
6.14	Information security aspects of business continuity management	27
6.14.1	Information security continuity	27
6.14.2	Redundancies	27
6.15	Compliance	27
6.15.1	Compliance with legal and contractual requirements	27
6.15.2	Information security reviews	28
7	Additional ISO/IEC 27002 guidance for PII controllers	29
7.1	General	29
7.2	Conditions for collection and processing	29
7.2.1	Identify and document purpose	29
7.2.2	Identify lawful basis	29
7.2.3	Determine when and how consent is to be obtained	30
7.2.4	Obtain and record consent	31
7.2.5	Privacy impact assessment	31
7.2.6	Contracts with PII processors	31
7.2.7	Joint PII controller	32
7.2.8	Records related to processing PII	33
7.3	Obligations to PII principals	33
7.3.1	Determining and fulfilling obligations to PII principals	33
7.3.2	Determining information for PII principals	33
7.3.3	Providing information to PII principals	34
7.3.4	Providing mechanism to modify or withdraw consent	35
7.3.5	Providing mechanism to object to PII processing	35
7.3.6	Access, correction and/or erasure	35

This is a preview of "ISO/IEC 27701:2019". [Click here to purchase the full version from the ANSI store.](#)

	7.3.7	PII controllers' obligations to inform third parties.....	36
	7.3.8	Providing copy of PII processed.....	36
	7.3.9	Handling requests.....	37
	7.3.10	Automated decision making.....	37
7.4		Privacy by design and privacy by default.....	38
	7.4.1	Limit collection.....	38
	7.4.2	Limit processing.....	38
	7.4.3	Accuracy and quality.....	38
	7.4.4	PII minimization objectives.....	39
	7.4.5	PII de-identification and deletion at the end of processing.....	39
	7.4.6	Temporary files.....	40
	7.4.7	Retention.....	40
	7.4.8	Disposal.....	40
	7.4.9	PII transmission controls.....	40
7.5		PII sharing, transfer, and disclosure.....	41
	7.5.1	Identify basis for PII transfer between jurisdictions.....	41
	7.5.2	Countries and international organizations to which PII can be transferred.....	41
	7.5.3	Records of transfer of PII.....	41
	7.5.4	Records of PII disclosure to third parties.....	42
8		Additional ISO/IEC 27002 guidance for PII processors.....	42
	8.1	General.....	42
	8.2	Conditions for collection and processing.....	42
	8.2.1	Customer agreement.....	42
	8.2.2	Organization's purposes.....	43
	8.2.3	Marketing and advertising use.....	43
	8.2.4	Infringing instruction.....	43
	8.2.5	Customer obligations.....	44
	8.2.6	Records related to processing PII.....	44
	8.3	Obligations to PII principals.....	44
	8.3.1	Obligations to PII principals.....	44
	8.4	Privacy by design and privacy by default.....	45
	8.4.1	Temporary files.....	45
	8.4.2	Return, transfer or disposal of PII.....	45
	8.4.3	PII transmission controls.....	46
	8.5	PII sharing, transfer, and disclosure.....	46
	8.5.1	Basis for PII transfer between jurisdictions.....	46
	8.5.2	Countries and international organizations to which PII can be transferred.....	47
	8.5.3	Records of PII disclosure to third parties.....	47
	8.5.4	Notification of PII disclosure requests.....	47
	8.5.5	Legally binding PII disclosures.....	47
	8.5.6	Disclosure of subcontractors used to process PII.....	48
	8.5.7	Engagement of a subcontractor to process PII.....	48
	8.5.8	Change of subcontractor to process PII.....	49
		Annex A (normative) PIMS-specific reference control objectives and controls (PII Controllers).....	50
		Annex B (normative) PIMS-specific reference control objectives and controls (PII Processors).....	54
		Annex C (informative) Mapping to ISO/IEC 29100.....	57
		Annex D (informative) Mapping to the General Data Protection Regulation.....	59
		Annex E (informative) Mapping to ISO/IEC 27018 and ISO/IEC 29151.....	62
		Annex F (informative) How to apply ISO/IEC 27552 to ISO/IEC 27001 and ISO/IEC 27002.....	65
		Bibliography.....	67

Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents) or the IEC list of patent declarations received (see <http://patents.iec.ch>).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html.

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 27, *Security techniques*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

This is a preview of "ISO/IEC 27701:2019". [Click here to purchase the full version from the ANSI store.](#)

Introduction

0.1 General

Almost every organization processes Personally Identifiable Information (PII). Further, the quantity and types of PII processed is increasing, as is the number of situations where an organization needs to cooperate with other organizations regarding the processing of PII. Protection of privacy in the context of the processing of PII is a societal need, as well as the topic of dedicated legislation and/or regulation all over the world.

The Information Security Management System (ISMS) defined in ISO/IEC 27001 is designed to permit the addition of sector specific requirements, without the need to develop a new Management System. ISO Management System standards, including the sector specific ones, are designed to be able to be implemented either separately or as a combined Management System.

Requirements and guidance for PII protection vary depending on the context of the organization, in particular where national legislation and/or regulation exist. ISO/IEC 27001 requires that this context be understood and taken into account. This document includes mapping to:

- the privacy framework and principles defined in ISO/IEC 29100;
- ISO/IEC 27018;
- ISO/IEC 29151; and
- the EU General Data Protection Regulation.

However, these can need to be interpreted to take into account local legislation and/or regulation.

This document can be used by PII controllers (including those that are joint PII controllers) and PII processors (including those using subcontracted PII processors and those processing PII as subcontractors to PII processors).

An organization complying with the requirements in this document will generate documentary evidence of how it handles the processing of PII. Such evidence can be used to facilitate agreements with business partners where the processing of PII is mutually relevant. This can also assist in relationships with other stakeholders. The use of this document in conjunction with ISO/IEC 27001 can, if desired, provide independent verification of this evidence.

This document was initially developed as ISO/IEC 27552.

0.2 Compatibility with other management system standards

This document applies the framework developed by ISO to improve alignment among its Management System Standards.

This document enables an organization to align or integrate its PIMS with the requirements of other Management System standards.