

---

**ISO/IEC 27050-3:2017**



**NBN ISO/IEC 27050-3:2018**



---

**Information technology -- Security techniques - Electronic discovery - Part 3: Code of practice for electronic discovery**

---

Valid from 27-11-2018

ICS: 03.100.70, 35.030



INTERNATIONAL  
STANDARD

ISO/IEC  
27050-3

First edition  
2017-10

---

---

**Information technology — Security  
techniques — Electronic discovery —**

**Part 3:  
Code of practice for electronic  
discovery**

*Technologies de l'information — Techniques de sécurité —  
Découverte électronique —*

*Partie 3: Code de pratique pour la découverte électronique*



Reference number  
ISO/IEC 27050-3:2017(E)

© ISO/IEC 2017



## **COPYRIGHT PROTECTED DOCUMENT**

© ISO/IEC 2017, Published in Switzerland

All rights reserved. Unless otherwise specified, 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  
Ch. de Blandonnet 8 • CP 401  
CH-1214 Vernier, Geneva, Switzerland  
Tel. +41 22 749 01 11  
Fax +41 22 749 09 47  
copyright@iso.org  
www.iso.org

# Contents

Page

|   |           |
|---|-----------|
| <b>Foreword</b> .....   | <b>v</b>  |
| <b>Introduction</b> .....   | <b>vi</b> |
| <b>1 Scope</b> .....  | <b>1</b>  |
| <b>2 Normative references</b> .....                               | <b>1</b>  |
| <b>3 Terms and definitions</b> .....                              | <b>1</b>  |
| <b>4 Abbreviated terms</b> .....                                  | <b>1</b>  |
| <b>5 Electronic discovery background</b> .....                    | <b>2</b>  |
| <b>6 Electronic discovery requirements and guidance</b> .....     | <b>3</b>  |
| 6.1 Overview.....   | 3         |
| 6.1.1 Structure of materials describing the process elements..... | 3         |
| 6.1.2 Cross-cutting aspects.....                                  | 3         |
| 6.2 ESI identification.....                                       | 4         |
| 6.2.1 Overview of ESI identification.....                         | 4         |
| 6.2.2 Objectives for ESI identification.....                      | 4         |
| 6.2.3 Considerations to avoid failures.....                       | 5         |
| 6.2.4 Requirements for ESI identification.....                    | 6         |
| 6.2.5 Guidance for ESI identification.....                        | 7         |
| 6.3 ESI preservation.....   | 7         |
| 6.3.1 Overview of ESI preservation.....                           | 7         |
| 6.3.2 Objectives for ESI preservation.....                        | 7         |
| 6.3.3 Considerations to avoid failures.....                       | 8         |
| 6.3.4 Requirements for ESI preservation.....                      | 9         |
| 6.3.5 Guidance for ESI preservation.....                          | 10        |
| 6.4 ESI collection.....   | 10        |
| 6.4.1 Overview of ESI collection.....                             | 10        |
| 6.4.2 Objectives for ESI collection.....                          | 11        |
| 6.4.3 Considerations to avoid failures.....                       | 11        |
| 6.4.4 Requirements for ESI collection.....                        | 13        |
| 6.4.5 Guidance for ESI collection.....                            | 14        |
| 6.5 ESI processing.....   | 14        |
| 6.5.1 Overview of ESI processing.....                             | 14        |
| 6.5.2 Objectives for ESI processing.....                          | 15        |
| 6.5.3 Considerations to avoid failures.....                       | 15        |
| 6.5.4 Requirements for ESI processing.....                        | 16        |
| 6.5.5 Guidance for ESI processing.....                            | 17        |
| 6.6 ESI review.....   | 17        |
| 6.6.1 Overview of ESI review.....                                 | 17        |
| 6.6.2 Objectives for ESI review.....                              | 18        |
| 6.6.3 Considerations to avoid failures.....                       | 18        |
| 6.6.4 Requirements for ESI review.....                            | 20        |
| 6.6.5 Guidance for ESI review.....                                | 20        |
| 6.7 ESI analysis.....   | 21        |
| 6.7.1 Overview of ESI analysis.....                               | 21        |
| 6.7.2 Objectives for ESI analysis.....                            | 21        |
| 6.7.3 Considerations to avoid failures.....                       | 22        |
| 6.7.4 Requirements for ESI analysis.....                          | 22        |
| 6.7.5 Guidance for ESI analysis.....                              | 23        |
| 6.8 ESI production.....   | 23        |
| 6.8.1 Overview of ESI production.....                             | 23        |
| 6.8.2 Objectives for ESI production.....                          | 24        |
| 6.8.3 Considerations to avoid failures.....                       | 24        |
| 6.8.4 Confirm forms of production.....                            | 25        |

**ISO/IEC 27050-3:2017(E)**

|                     |                                      |           |
|---------------------|--------------------------------------|-----------|
| 6.8.5               | Requirements for ESI production..... | 26        |
| 6.8.6               | Guidance for ESI production.....     | 26        |
| <b>Bibliography</b> | .....                                | <b>28</b> |

## 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. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

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 ISO documents 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](http://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 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](http://www.iso.org/patents)).

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

For an explanation on 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 the following URL: [www.iso.org/iso/foreword.html](http://www.iso.org/iso/foreword.html).

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

A list of all parts in the ISO/IEC 27050 series can be found on the ISO website.

**ISO/IEC 27050-3:2017(E)****Introduction**

This document provides requirements and guidance associated with the electronic discovery process elements described in ISO/IEC 27050-1. While the requirements and recommendations are not intended to contradict or supersede local jurisdictional laws and regulations, they are expected to be useful for both legal and non-legal application, as well as for both technical and non-technical personnel involved in some or all of the electronic discovery activities. Additional materials are provided to help organizations better understand the objectives associated with each electronic discovery process element and considerations to avoid failures, which can mitigate risk and expense if electronic discovery becomes an issue.

Electronic discovery often serves as a driver for investigations, as well as evidence acquisition and handling activities (covered in ISO/IEC 27037). In addition, the sensitivity and criticality of the data sometimes necessitate protections like storage security to guard against data breaches (covered in ISO/IEC 27040).

Note that this document is not a reference or normative document for regulatory and legislative security requirements. Although it emphasizes the importance of these influences, it cannot state them specifically, since they are dependent on the country, the type of business, etc.



# Information technology — Security techniques — Electronic discovery —

## Part 3: Code of practice for electronic discovery

### 1 Scope

This document provides requirements and guidance on activities in electronic discovery, including, but not limited to, identification, preservation, collection, processing, review, analysis and production of electronically stored information (ESI). In addition, this document specifies relevant measures that span the lifecycle of the ESI from its initial creation through to final disposition.

This document is relevant to both non-technical and technical personnel involved in some or all of the electronic discovery activities. It is important to note that the requirements and guidance are not intended to contradict or supersede local jurisdictional laws and regulations and it is expected that care is exercised by the user to ensure compliance with the prevailing jurisdictional requirements.

### 2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 27000, *Information technology — Security techniques — Information security management systems — Overview and vocabulary*

ISO/IEC 27050-1:2016, *Information technology — Security techniques — Electronic discovery — Part 1: Overview and concepts*

### 3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 27000 and ISO/IEC 27050-1 apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <http://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

### 4 Abbreviated terms

|     |   |
|-----|---|
| ESI | Electronically stored information         |
| ICT | Information and communications technology |
| OCR | Optical character recognition             |