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Document management — Minimum requirements for the storage of documents —

Part 2: **Storage**

Gestion de documents — Exigences minimales pour le stockage des documents —

Partie 2: Stockage

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Contents

Page

Foreword ..... **iv**
Introduction ..... **v**
1 Scope **1**
2 Normative references **1**
3 Terms and definitions **1**
4 Storage **1**
4.1 General 1
4.2 Benefits and risks 1
4.3 Policy 2
5 Controls **2**
5.1 Requirements 2
5.2 Storage 2
5.3 Document receipt 3
5.4 Document retrieval 3
5.5 Document inspection and monitoring 3
5.6 Migration and recovery 3
Bibliography **4**

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

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).

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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 Technical Committee ISO/TC 171, *Document management applications*, Subcommittee SC 1, *Quality, preservation and integrity of information*.

A list of all parts in the ISO 19475 series can be found on the ISO website.

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.

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Introduction

When electronic documents are managed in a typical office environment, it is necessary to determine the processes required for their management. This includes identifying the type of documents to be managed and their importance to the organization. The volumes of electronic documents that require management is growing, as electronic documents are being created by an ever-increasing variety of combinations of hardware and software. It is essential that documents are managed in such a way that supports the management of the organization and its core business activities.

The ISO 19475 series specifies the minimum requirements necessary to maintain the authenticity, integrity and readability of documents managed by an electronic document management system. Clarifying the management of electronic documents promotes usability of the documents, in both a legal and business context.

The series is composed of three parts.

ISO/TS 19475-1 specifies requirements for the capture of documents into document management systems.

This document specifies requirements for the storage of documents. It is aimed at maintaining the authenticity and integrity of the stored documents.

ISO/TS 19475-3 specifies requirements for the evaluation of stored documents and for implementing decisions to either destroy the documents or transfer them to another storage facility.

This document specifies the minimum requirements that are necessary when operating a document management system to preserve the authenticity, integrity and readability of an electronic document. Implementing these requirements helps to demonstrate the authenticity of the documents. The organization managing the documents is able to maintain the quality of its document management systems by specifying and implementing the prescribed methods of operation.

The purpose of this document is to specify the minimum requirements that an organization implements in order to capture electronic documents. This document focuses on those electronic documents that may be required for legal, regulatory or business evidential purposes.

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Document management — Minimum requirements for the storage of documents —

Part 2: Storage

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1 Scope

This document specifies requirements for maintaining the authenticity, integrity and readability of documents during storage processes.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

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

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at http://www.electropedia.org/

3.1
storage system
information technology system with the capability of managing electronically stored documents

4 Storage

4.1 General

The storage process involves maintenance of electronically stored documents in a way that makes them available for use. The process involves confirmation that the stored documents are not damaged or used without authorization, such that their authenticity, integrity and readability are not compromised.

During storage, inspection of documents needs to be conducted to identify any unauthorized use and to confirm that the management of the storage systems is appropriate. Operational personnel may need to respond to issues identified during these inspections, in order to reduce the risk of compromise to the stored documents.

The storage processes need to include the ability to demonstrate that stored documents are authentic, and that integrity and readability are maintained during the whole life cycle.

4.2 Benefits and risks

The benefits of proper storage include:

— confidence in the storage systems;

— ability to demonstrate that authenticity, integrity and readability are maintained.

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Storage-related risks include:

— document damage due to a problem in the storage media;

— document damage due to a problem in the storage system;

— document integrity due to inappropriate use.

4.3 Policy

Storage processes need to be in compliance with the organization's information management policy. This policy needs to include a description of risks related to the storage of documents.

The section of the information management policy related to storage need to include policies on:

— the roles and responsibilities related to storage operations;

— the method of monitoring the usage of stored documents;

— the method of inspecting authenticity, integrity and readability.

5 Controls

5.1 Requirements

The following principles shall govern the storage of documents:

a) storage systems maintain the authenticity, integrity and readability of stored document for the effective function of business activities;

b) storage operational personnel inspect and document the condition of stored documents and the storage system in use;

c) where corrective measures are identified, relevant media and system migration or recovery from backup data is executed;

d) storage processes are in accordance with business requirements;

e) risk assessments are undertaken during the specification and operation of the document management system and its storage media.

5.2 Storage

Storage processes shall be managed so that they satisfy the following requirements:

— storage processes are defined, documented and approved by the organization;

— storage operational personnel are approved by the organization;

— user's access right to the documents in the storage system is authorized in accordance with business requirements;

— processes for the use, migration and disposal of documents and their metadata managed by the storage process are in accordance with business requirements;

— storage operational personnel monitor the readability and usage of documents in the storage system:

  — where readability is found to be compromised, or where usage is found to be inappropriate, document recovery is executed in accordance with business requirements;

— storage operational personnel monitor the availability of the storage system;

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— storage operational personnel monitor the status of the media, as well as its maintainability;

  — if storage media is becoming unreliable or difficult to maintain, migration to alternative media is initiated;

— all storage operations are recorded in audit trails, which are monitored by operational personnel.

5.3 Document receipt

When registering documents in the storage system during the capture process (see ISO/TS 19475-1), information on the storage location, the data format and the user authority shall be registered along with operation-related classification data.

5.4 Document retrieval

Storage operational personnel shall monitor the user's usage history of documents in storage. Monitoring shall include both direct access to the online storage and access to any offline media.

5.5 Document inspection and monitoring

Storage operational personnel shall inspect and monitor the readability of documents in storage.

5.6 Migration and recovery

Where migration, recovery or other similar operations have been carried out:

— inspection of the stored documents shall be carried out to assess readability and to confirm that user authority is maintained;

— inspection of the condition (quality) of the storage media shall be carried out.

Where the quality of the storage media falls short of the quality requirements, media migration shall be initiated.

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