TECHNICAL SPECIFICATION

ISO/TS 19475-3

First edition
2018-09

Document management — Minimum requirements for the storage of documents —

Part 3:
Disposal

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

Partie 3: Élimination

Reference number
ISO/TS 19475-3:2018(E)

© ISO 2018

COPYRIGHT PROTECTED DOCUMENT

© ISO 2018

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

Contents

Page

Foreword .... **iv**

Introduction .... **v**

1 Scope **1**

2 Normative references **1**

3 Terms and definitions **1**

4 Disposal **2**
- 4.1 General 2
- 4.2 Benefits and risks 2
- 4.3 Policy 3

5 Controls **3**
- 5.1 Requirements 3
- 5.2 Disposal 4
- 5.3 Destruction 4
- 5.4 Transfer 4
- 5.5 Legal hold 5
- 5.6 Early disposal 5

Bibliography **6**

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).

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).

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.

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.

ISO/TS 19475-2 specifies requirements for the storage of documents. It is aimed at maintaining the authenticity and integrity of the stored documents.

This document 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.

Document management — Minimum requirements for the storage of documents —

Part 3:
Disposal

1 Scope

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

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/TS 19475-1, *Document management — Minimum requirements for the storage of documents — Part 1: Capture*

ISO/TS 19475-2, *Document management — Minimum requirements for the storage of documents — Part 2: Storage*

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
disposal
actions taken following the expiration of retention periods of documents

3.2
media
material upon which information is recorded

[SOURCE: ISO 18913:2012, 3.114]

3.3
metadata
data about other data, documents or records that describes their content, context, structure, data format, provenance, and/or rights attached to them

[SOURCE: ISO 5127:2017, 3.1.10.26.01]

3.4
retention schedule
document describing the records of an organization establishing retention periods and providing authorization for their *disposal* (3.1)

[SOURCE: ISO 5127:2017, 3.5.3.01]

4 Disposal

4.1 General

Disposal processes include the destruction and/or transfer of documents that had been managed by a document management system, typically performed at the end of the agreed retention period. Retention periods need to be in accordance with appraisal criteria based on business requirements.

Disposal processes need to be carried out as documented by authorized and current disposal authorities. Document management systems need to be designed to support the execution of disposal processes.

Documents need to be retained for the minimum time periods specified by disposal authorities. Disposal processes may include:

a) the destruction of documents;

b) the transfer of control and custody of documents to an organization that has assumed responsibility for the business activity through restructure, sale or privatization, or other business change;

c) the transfer of documents to an internal archive;

d) the transfer of control and custody of documents to another organization.

Some metadata may need to be retained beyond the minimum retention period for the documents with which it is associated. Disposal processes need to support meeting these requirements.

4.2 Benefits and risks

The benefits of proper disposal include:

- reducing the risks of disclosure of sensitive or confidential documents;
- ensuring the preservation of documents of historical or long-term business value;
- contributing to information security requirements;
- reducing storage costs;
- ensuring demonstrable compliance and avoiding fines and penalties for improper destruction of documents;
- purging unnecessary documents from information systems and enhancing the efficiency of searching and processing stored information.

Disposal-related risks include:

- failure to comply with retention requirements set in laws and regulations, resulting in sanctions and expenses;
- inadvertent disclosure of damaging/sensitive documents due to over-retention (especially in cases of e-discovery);
- extra costs in cases of over-retention;

- loss of documents that are assets of the business or have legal or historical value due to premature destruction;
- where disposal involves the transfer to another system or organization, loss of integrity due to transfer errors;
- document leaks if confidentiality of disposal is not ensured.

ISO/TR 18128 provides additional guidance in the disposal of records.

4.3 Policy

Disposal processes shall be in compliance with the organization's information management policy. This policy shall include a description of risks related to the disposal of documents.

The section of the information management policy related to disposal shall include policies on:

- the roles and responsibilities related to disposal operations;
- the method of confirming that the documents being disposed of are authentic and their integrity has been maintained;
- the method of confirming the disposal authorities;
- the method of disposal;
- the method of monitoring the disposal operations.

5 Controls

5.1 Requirements

The following principles shall govern the disposal of documents:

a) disposal is always authorized;

b) documents pertaining to pending or actual litigation, legal action or investigation, or requests for access (such as Freedom of Information requests) are not disposed of while that action is underway or anticipated to arise;

c) document disposal is carried out in a way that preserves any security or access restriction of the documents;

d) disposal is documented as part of process monitoring data;

e) disposal processes ensure that the document cannot be reconstituted.

The disposal processes shall manage the disposal of documents in accordance with defined rules. This may include destruction or transfer to another organization for long-term retention, as appropriate.

Disposal processes shall ensure that the authenticity of the disposed documents is maintained, particularly in the case of document transfer. For this purpose, the person responsible for the documents shall inspect the state of the documents prior to disposal and execute the processes to ensure their correct operation.

Disposal actions shall be authorized and documented. Documentation shall provide evidence that the disposal took place in accordance with established and formally adopted policies and schedules and with appropriate authorization. The documentation of disposal shall be retained according to corresponding retention schedules.

Disposal should preferably be a part of routine course of business, rather than an ad hoc activity.

The operation shall be executed to satisfy the business requirements indicated in ISO/TS 19475-1 and ISO/TS 19475-2.

The audit trail of the disposal process shall be retained. Disposal documentation and audit trails can be used for checking the adequacy of disposal processes and their compliance with existing legal, regulatory, business and other requirements. The results of such analysis shall inform improvements to disposal processes.

5.2 Disposal

Disposal processes shall be carried out to comply with the rules of authorized and current disposal authorities. Document management systems shall be designed to support the execution of disposal processes.

Documents shall be retained for the minimum time periods specified in disposal authorities. Disposal actions specified in disposal authorities shall be implemented. These may include:

a) destruction;

b) transfer of control and custody to an organization that has assumed responsibility for the business activity through restructure, sale or privatization, or other business change;

c) transfer of control to an institutional or external archive for permanent retention;

d) donation.

In some cases, document metadata will be required to be retained beyond the minimum retention period for the document with which it is associated. Disposal processes should support meeting these requirements.

The disposal of documents shall be governed by the principals set in 5.1.

The disposal process shall manage the disposal of documents in accordance with defined rules. This may include destruction or transfer to a longer retention as appropriate.

5.3 Destruction

There shall be procedures for the secure destruction of documents in line with the disposal authorities. These procedures shall ensure that all copies of the documents (including backups) are included in the destruction processes.

Destruction procedures shall include security precautions appropriate to the sensitivity of the documents being destroyed.

Destruction processes shall be auditable, such that the disposal of individual documents can be demonstrated.

Where documents are stored on media or systems that do not allow individual documents to be destroyed (such as on WORM optical disk), appropriate processes shall be implemented to remove access to documents awaiting destruction. Alternatively, a procedure for copying all appropriate documents on a particular piece of media to new media, without copying those that are to be destroyed, shall be used. In this case, disposal procedures shall include the secure destruction of the original piece of media.

5.4 Transfer

Where documents and their metadata are transferred to other systems (internal or external) for long-term preservation, secure transfer procedures shall be used. Subsequent to the confirmation of transfer, all copies of the documents shall be destroyed on the originating systems.

Transfer processes may be electronic or physical. In either case, appropriate security procedures and processes shall be used to ensure that documents are transferred while maintaining their authenticity and readability. Transfer processes shall also ensure that no documents are lost or compromised during transfer.

Where transfer processes involve a change to format (which could be a change of media type and/or of file format), then these processes shall protect the authenticity and readability of the documents.

5.5 Legal hold

There may be some instances where the disposal process shall be delayed, for example for legal or regulatory requirements, or where pending requests for access to the documents exist or are anticipated. There shall be a process whereby the disposal of identified documents is delayed. This process shall include a procedure for ensuring that a notification of release of legal hold is received and acted upon.

5.6 Early disposal

There may be some instances where the disposal process shall be performed earlier than anticipated, for example, for legal or regulatory requirements. There shall be a process whereby the disposal of identified documents is actioned prior to that determined by disposal authorities.