

Australian/New Zealand Standard™

**Document management—Information
stored electronically—
Recommendations for trustworthiness
and reliability**



AS/NZS ISO 15801:2014

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee IT-021, Records and Document Management Systems. It was approved on behalf of the Council of Standards Australia on 13 November 2014 and on behalf of the Council of Standards New Zealand on 10 November 2014. This Standard was published on 5 December 2014.

The following are represented on Committee IT-021:

AMS Imaging
Archives New Zealand
Association of Local Government Information Managers
Australian Customs and Border Protection Service
Australian Society of Archivists
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NSW Right to Information and Privacy Practitioners Network
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Additional Interests:

Enterprise Knowledge
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We also welcome suggestions for improvement in our Standards, and especially encourage readers to notify us immediately of any apparent inaccuracies or ambiguities. Please address your comments to the Chief Executive of either Standards Australia or Standards New Zealand at the address shown on the back cover.

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PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-021, Records and Document Management Systems, to supersede AS ISO 15801—2006, *Electronic imaging—Information stored electronically—Recommendations for trustworthiness and reliability*.

This Standard is identical with, and has been reproduced from ISO/TR 15801:2009, *Document management—Information stored electronically—Recommendations for trustworthiness and reliability*.

The objective of this Standard is to describe the implementation and operation of document management systems that can be considered to store electronic information in a trustworthy and reliable manner.

The Standard is for use by any organization that uses a document management system to store authentic, reliable and usable/readable electronic information over time. Such systems incorporate policies, procedures, technology and audit requirements that ensure that the integrity of the electronic information is maintained during storage.

This Standard does not cover processes used to evaluate whether information can be considered to be authentic prior to it being stored or imported into the system; however, it may be used to demonstrate that, once the information is stored, output from the system will be a true and accurate reproduction of the original.

As this Standard is reproduced from an International Standard, the following applies:

- (a) In the source text 'this Technical Report' should read 'this Australian/New Zealand Standard'.
- (b) A full point substitutes for a comma when referring to a decimal marker.

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INTRODUCTION

This Technical Report defines recommended practices for electronic storage of business or other information in an electronic form. As such, complying with its recommendations is of value to organizations even when the trustworthiness of the stored information is not being challenged.

Information, in the form of digital objects, originates from many sources. This Technical Report covers digital objects in any form, from the traditional scanned images, word processed documents and spreadsheets to the more “modern” forms which include e-mail, web content, instant messages, CAD drawing files, blogs, wikis, etc.

Users of this Technical Report should be aware that the implementation of these recommendations does not automatically ensure acceptability of the evidence encapsulated by the information. Where stored electronic information might be required in court, implementers of this Technical Report are advised to seek legal advice to ascertain the precise situation within their relevant legal environment.

This Technical Report describes means by which it can be demonstrated, at any time, that the contents of a specific electronic object created or existing within a computer system have not changed since it was created within the system or imported into it.

Regardless of the original format, it will be possible to demonstrate that information stored in a trustworthy system can be reliably reproduced in a consistent manner and accurately reflects what was originally stored without any material modification.

Other versions of the information might legitimately develop, e.g. revision of a contract. In these cases the new versions are treated as new electronic objects. The same principle can be applied when a significant change is made to a document in a workflow environment.

Document management systems can store, in an electronic form, both documents and records (as defined in ISO 15489-1). This Technical Report describes means for storing all types of electronic information in a trustworthy and reliable manner. Where records are stored, the requirements of this Technical Report can be used in conjunction with those specified in ISO 15489-1 to ensure that the policies and procedures described in this Technical Report work in conjunction with those specified in ISO 15489-1.

Readers are advised to use this Technical Report in conjunction with other local sources, particularly with relevance to governmental and legal requirements in their respective jurisdictions.

AUSTRALIAN/NEW ZEALAND STANDARD

**Document management—Information stored electronically—
Recommendations for trustworthiness and reliability****1 Scope**

This Technical Report describes the implementation and operation of document management systems that can be considered to store electronic information in a trustworthy and reliable manner.

This Technical Report is for use by any organization that uses a document management system to store authentic, reliable and usable/readable electronic information over time. Such systems incorporate policies, procedures, technology and audit requirements that ensure that the integrity of the electronic information is maintained during storage.

This Technical Report does not cover processes used to evaluate whether information can be considered to be authentic prior to it being stored or imported into the system. However, it can be used to demonstrate that, once the information is stored, output from the system will be a true and accurate reproduction of the original.

Where, in this Technical Report, the term “system” is used, it should be taken as meaning the document management system that is being reviewed, unless otherwise stated.

2 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 12651 and the following apply.

2.1**information type**

groups of related documents

NOTE In specific applications, “groups” can be identified as “sets”, “files”, “collections” or other similar terms.

EXAMPLES Invoices, financial documents, data sheets, correspondence.

2.2**trusted system**

⟨document management⟩ system used to store electronic information in an accurate, reliable and usable/readable manner, ensuring integrity over time

3 Document management policy**3.1 General**

Information is one of the most important assets that any organization has at its disposal. Everything an organization does involves using information in some way. The quantity of information can be vast, and there are many different ways of representing and storing it. The value of information used and the manner in which it is applied and moved within and between organizations can determine the success or failure of those organizations.

Information, like any other asset, needs to be classified, structured, validated, valued, secured, monitored, measured and managed efficiently and effectively.