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First edition
2017-06

Document management — Assessing ECM/EDRM implementations — Trustworthiness

*Gestion de documents — Évaluation de la mise en oeuvre des ECM/
EDRM — Fiabilité*



Reference number
ISO 18829:2017(E)

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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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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.

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

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Introduction

This document provides a methodology for organizations seeking to assess whether their ECM environment complies with key concepts of trustworthiness and information reliability as identified in ISO/TR 15801 and ISO/TR 22957.

Many organizations are now required to ensure their business-related electronically stored information (ESI) is securely created, stored and eventually destroyed in order to establish the authenticity and accuracy of the ESI and the security and trustworthiness of the organization.

This document identifies activities and operations an organization needs to follow in order to

- ensure that any electronically stored information (ESI) is created and maintained in a reliable and trustworthy manner through the entire ESI lifecycle, and
- evaluate existing enterprise content management (ECM) systems or electronic document and records management (EDRM) systems for compliance with applicable ISO standards.

ISO 15489, ISO/TR 15801 and ISO/TR 22957 provide organizations with guidance for the design of their enterprise content management (ECM) systems; however, organizations may also be required to provide auditable proof that these systems provide a secure environment for ESI that meets any legal, technical and policy obligations of the organization and comply with applicable ISO standards.

Any trustworthy ECM/EDRM solution needs to be capable of being audited, with reproducible results. There also needs to be a method of independently verifying the claims of the software and hardware vendors that the information is safe and secure and being stored in a trustworthy fashion. Organizations will need to ensure that their supporting documentation reflects these requirements.

Although standardized ECM solutions are likely to be auditable and can be easily verified, non-standardized or proprietary storage solutions may not provide a full audit trail and claims for the security of the ECM/EDRM solution made by vendors are difficult to independently verify. Regardless of whether the storage technology is standardized or proprietary, the organization faces the same need to be able to verify that the ECM/EDRM solution complies with all applicable requirements.