ISO 14641:2018 (E)

Electronic document management — Design and operation of an information system for the preservation of electronic documents — Specifications

Contents

Foreword

Introduction

1 Scope

2 Normative references

3 Terms and definitions

4 General characteristics and levels of requirements

4.1 Characteristics
4.2 Levels of requirements

5 General specifications

5.1 General
5.2 Technical description manual
5.3 Archival system profiles
5.4 Operational procedures
5.4.1 General
5.4.2 Scanned documents
5.4.3 Digitally born documents
5.5 Security
5.5.1 Management and organization of security
5.5.2 Risk assessment
5.5.3 Physical security
5.5.4 Hardware security
5.5.5 Security of custom software and software products
5.5.6 Maintenance of the information system
5.5.7 System change-management and migration of media
5.5.8 Security backups
5.5.9 Continuity of access to archives
5.6 Date and time stamping
5.7 Audit trail
5.7.1 General
5.7.2 Secure preservation of the audit trail
5.7.3 Archive lifecycle log
5.7.4 Events log

6 Storage media considerations

6.1 Media type definition
6.2 Preservation of archival media

7 Systems using removable media

7.1 General
7.2 Initialization of removable storage volumes
7.3 Finalization of removable storage volumes
7.4 Labelling of physical WORM media

8 Systems using logical WORM media

9 Systems using rewritable media

9.1 General

9.2 Standard security level
9.3 Strong security level
9.4 Advanced security level

10 Archival capture

10.1 Electronically born documents
10.1.1 General
10.1.2 Procedure for archives capture (deposit)
10.1.3 Marked-up electronic documents
10.1.4 Electronic documents using a layout format
10.1.5 Other electronic document formats
10.1.6 Print streams
10.1.7 Verification of electronic documents
10.1.8 Integrity control of electronic documents transferred from source applications
10.1.9 Metadata capture
10.1.10 Indexing and document searches
10.2 Paper-based or microform documents
10.2.1 Scanning devices for documents
10.2.2 Image processing features
10.2.3 Paper document or microform capture procedure
10.2.3.1 General
10.2.3.2 Preparation of paper documents
10.2.3.3 Preparation of microform documents
10.2.3.4 Paper or microform document scanning
10.2.3.5 Verification of scanned information
10.2.4 Audit trails
10.2.4.1 Document or batch identification
10.2.4.2 Document capture process details
10.2.4.3 Audit trail data
10.3 Analogue audio/video objects on tape media
10.3.1 General
10.3.2 Preparation of original tape media
10.3.3 Original audio and audiovisual object digitization
10.3.4 Audio and audiovisual information processing
10.3.4.1 General
10.3.4.2 Audio objects
10.3.4.3 Video objects
10.3.5 Events log
10.3.5.1 Object identification
10.3.5.2 Object batches identification
10.3.5.3 Object capture and storage procedures verification
10.3.5.4 Operations log
10.4 Image, audio and video information compression techniques
10.4.1 Compression types
10.4.2 Paper or microform documents
10.4.3 Audio or audiovisual recordings objects
10.5 Format conversion

11 Archival operations

11.1 Scope
11.2 Access
11.2.1 General
11.2.2 Digitized documents
11.2.3 Marked-up electronic documents
11.2.4 Electronic documents using lay-out format
11.3 Restitution
11.4 Archives disposal

12 Information system assessment

12.1 General
12.1.1 Audits
12.1.2 Objectives
12.1.3 Auditor responsibilities
12.1.4 Personnel responsible for assessment

12.1.5 Verification of documentation
12.1.6 Assessment operations documents
12.2 Internal assessment
12.3 External assessment

13 Trusted third-party archival

13.1 Activities of trusted third-party archive service provider
13.2 Service contract model
13.2.1 Service contract
13.2.2 Service contract duration
13.2.3 Preservation period
13.2.4 Quality of service
13.2.5 Security and data protection
13.2.6 Information and counsel
13.2.7 Transfer and continuity
13.2.8 Transferability
13.2.9 Restitution
13.2.10 Confidentiality and private data
13.2.11 Professional insurance
13.2.12 Subcontracting
13.2.13 Assessment

14 Service providers

14.1 General
14.2 Subcontractor agreement
14.3 Contract with subcontractor
14.4 Data transfer over telecommunications networks

Annex A (informative) Archival policy

Annex B (informative) Declaration of archival practices

Annex C (informative) General service conditions

Page count: 40