International Standard

ISO 15801

Document management — Electronically stored information — Requirements and guidance for trustworthiness and reliability

Gestion documentaire — Informations stockées électroniquement — Exigences et recommandations pour la fiabilité et la sécurité

First edition
2026-05

Reference number
ISO 15801:2026(en)

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Published in Switzerland

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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 document 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 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*.

This first edition of ISO 15801 cancels and replaces ISO/TR 15801:2017, which has been technically revised. The main changes are as follows:

— update from a Technical Report to an International Standard.

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

Information is an organizational asset that should be appropriately managed throughout its lifecycle. Ensuring that the organization is able to demonstrate the trustworthiness and reliability of electronically stored information (ESI) is a key consideration. Failure to do so can result in non-compliance, loss of evidential value for information used in business, dispute resolution or legal proceedings.

This document specifies how ESI can be managed by an organization using processes and systems, thus enabling the organization to demonstrate the trustworthiness and reliability of the ESI throughout its lifecycle.

NOTE These processes and systems are sometimes referred to as an information management system.

This document is intended for use in business, compliance, legal or other dispute resolution purposes, where the retained ESI needs to be relied upon to be exactly what it purports to be. This document is intended to be used by:

— managers and professionals involved in management and governance of data, information, records, knowledge, digital preservation or e-discovery;

— designers, vendors and operators of the systems and processes that create, receive, store, transmit, preserve and dispose of ESI.

It would also benefit the academic community and general public.

Where an organization implements the requirements in this document, it is anticipated that the weight of evidence of ESI managed by the systems and processes will be maximized by ensuring its trustworthiness and reliability. This is likely to reduce the effort and cost involved in dispute resolution, as the resolution process will place less emphasis on the trustworthiness or reliability of disclosed ESI. It is also likely that organizations will minimize their risks concerning the credibility of ESI retained for the long term.

ESI originates from many sources. This document covers ESI in any form, from traditional scanned images, word-processed documents and spreadsheets to the more modern forms which include email, web content, instant messages, computer-aided design (CAD) drawing files, blogs, wikis, audio files, pictures and video. Also included is ESI stored in databases, Internet of Things (IoT) systems, distributed ledger technology (including blockchain systems) and other storage systems, including the use of cloud storage.

When ESI preservation is considered, the requirements of ISO 14641 can be used in conjunction with this document.

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Document management — Electronically stored information — Requirements and guidance for trustworthiness and reliability

1 Scope

This document specifies requirements for and guidance on the implementation and operation of processes and systems to manage, store and provide access to electronically stored information (ESI) in a trustworthy and reliable manner. Such ESI can be of any type, including "page based" information, information in databases and audio/video information.

This document is intended for any organization that uses processes and systems to store trustworthy ESI over time. Such processes and systems incorporate policies, procedures, technology and audit requirements that ensure that trustworthiness of the ESI is maintained.

This document does not cover processes and systems used to evaluate whether ESI can be considered trustworthy before it is stored or imported into the system. However, it can be used to demonstrate that, once the electronic information is stored, output from the system will be a true and accurate reproduction of the ESI.

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 12651 (all parts), *Electronic document management — Vocabulary*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 12651-1, ISO 12651-2 and the following apply.

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

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

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

3.1
digital seal
data in electronic form which is attached to or logically associated with other data in electronic form to inform on the latter's origin and integrity

3.2
electronically stored information
ESI
information of any kind and from any source, whose temporal existence is evidenced by being stored in or on any electronic medium

Note 1 to entry: ESI includes traditional email, memos, letters, spreadsheets, databases, office documents, presentations and other electronic formats commonly found on a computer. ESI also includes system, application and file-associated metadata such as timestamps, revision history, file type, etc.

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