|  |  |
| --- | --- |
| **Version number** | **The version number of the approved plan** |
| **Approved by** | [First name Surname], [Position title i.e. CEO] |
| **Endorsed by** | [First name Surname], [Position title e.g. Assistant Director, Senior manager] |
| **Date approved on** | dd/mm/yyyy |
| **Effective date** | dd/mm/yyyy |
| **Last amendment date** | dd/mm/yyyy |
| **Expiry date** | dd/mm/yyyy |
| **Related documents** | Name of related document(s) |
| **Business owner** | Title of the person responsible for the implementation and management of this plan |
| **Superseded documents** | Documents replaced by this plan |
| **Document control number** | Registration or control number applied to this plan (if applicable) |

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## How to use this Digitisation Plan template

The *PROS 19/05 S1: Digitisation Specification* requires public offices to create a Digitisation Plan in cases where the digitised record will be treated as the official record.

If you intend to destroy the original source records following digitisation, you must first check *PROS 19/07 Retention and Disposal Authority for Converted or Digitised Records* to see if you are permitted to do this and ensure you meet any conditions.

This Digitisation Plan Template has been designed as a tool to assist public offices to develop a Digitisation Plan.

However, public offices can adapt this template, copy sections across to their own organisational document formats or create an entirely new Digitisation Plan, as long as the requirements under *PROS 19/05 S1:Digitisation* are met.

The purple text in this Digitisation Plan Template provides guidance. **Remove it from the final version of your Digitisation Plan.**

# 1. Introduction

Under the *Public Records Act 1973*, public offices are required to comply with the Recordkeeping Standards and Specifications set by Public Record Office Victoria (PROV), the records management authority for Victoria. This Digitisation Plan addresses the requirements of PROS 19/05 S1: Digitisation Specification.

## 1.1 Authorisation, ownership, duration and review

This Digitisation plan was approved by [Individual, title, section area/business unit] on [date]

[Section area/Business Unit] will be responsible for implementing and managing this Digitisation Plan.

This Digitisation Plan will be reviewed by [Records manager or title of other responsible officer, Business Unit] every [Insert review period]) and will expire after a period of [Insert duration period].

Implementation of this Digitisation Plan is supported by [Insert references to relevant business cases, business plans, project management plans, budgets and other documentation.]

# Scope and authority for digitisation activity

## Original source records to be digitised

The below table identifies the records that are to be digitised.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Number | Description of records | Who created and/or is responsible for the records | Purpose of records | Physical characteristics – format, condition, quantity | Date range | How the records are arranged |
| 2.1.A | Give a meaningful title for the records which are to be digitised. (e.g. Community Sporting Fund Grant Application Files, Child Protection Notification Files). | Specify the section or unit in which created and/or is responsible for the records. | Describes in plain English the purpose of the records. | Describe the format of the records, condition and quantity of the records (e.g. 20 large bound volumes. 5 volumes have slight water damage). | List the date range of the records (e.g. 2002-2005) | Describe the arrangement of the records (e.g. alphabetical order by subject, number order starting 1995/001 to 2000/453). |
| 2.1.B |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

## Authorisation under *PROS 19/07 Retention and Disposal Authority for Converted or Digitised Records for destroying the original source records after digitisation*

If you intend to destroy the original source records after digitisation, use this table to specify which *PROS 19/07 Retention and Disposal Authority for Converted or Digitised Records* class or classes authorise this. If the original source records cannot be destroyed under this Retention and Disposal Authority following their digitisation you must make arrangements to retain them, transferring those of permanent value to PROV at the agreed point.

|  |  |  |  |
| --- | --- | --- | --- |
| Number | Description of records  Use the same description you used for 2.1 | Class authorising the destruction of the original source records from *PROS19/07 Retention and Disposal Authority for Converted or Digitised Records* | If the Retention and Disposal Authority sets any conditions which must be met before destruction, describe how this has been or will be met |
| 2.2.A |  |  |  |
| 2.2.B |  |  |  |
|  |  |  |  |
|  |  |  |  |

## Risk analysis and treatment

Examples of risks have been set out in the table. You may have different or additional risks to include.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Number | Risk | Impact of risk | Likelihood of occurring | Treatment / mitigation |
| 2.3.A | e.g. The risk that the authenticity of the record will be challenged and that the authenticity could have been proven from the source or original record but cannot be proven from a digitised copy. | High/Medium/ Low impact depending on the circumstances in your Public Office | High/Medium/ Low chance of occurring depending on the circumstances in your Public Office | e.g. Retain in hardcopy format record types which are authorised by wet signature (e.g. contracts and MOUs). |
| e.g. Incomplete digitisation where some records are not digitised at all, not digitised completely (e.g. missing pages), or have poor quality images (e.g. poor contrast, too low a resolution) | High/Medium/ Low impact depending on the circumstances in your Public Office | High/Medium/ Low chance of occurring depending on the circumstances in your Public Office | e.g. Sound quality control and assurance measures are in place to help ensure records are being digitised to a sufficient standard. All staff involved in the digitisation have received the proper training to carry out the digitisation to proper full, accurate and complete records. |
| e.g. The digitised records or the source or original records are lost or cannot be accessed (for example are locked in outdated formats or systems) | High/Medium/ Low impact depending on the circumstances in your Public Office | High/Medium/ Low chance of occurring depending on the circumstances in your Public Office | e.g. Mitigated through having adequate post-digitisation records management arrangements which comply with PROV standards |
| **Total risk rating:** High / Medium / Low | | | |

# Digitisation process and technology

## Digitisation project

Describe the project and arrangements for undertaking the work. For example:

* Is this a discreet project or on-going activity? If it is a discreet project, provide an approximate time frame.
* If performed in-house, name the Business Unit performing the digitisation.
* Where the digitisation is being performed by an outsourced provider, provide the name of the provider and confirm that an agreement is in place between your public office and the provider.
* Provide details of the agreement between your Public Office and the outsourced provider or attach a copy of the agreement.

## Technology

Use the below table to specify the technology which will be used and any configuration details which will assist with this project or later projects.

|  |  |  |  |
| --- | --- | --- | --- |
| **Number** | **Hardware** | **Software** | **Configuration settings** |
| 3.2.A | Describe the hardware are you using for the digitisation | Describe the software are you using for the digitisation | Describe details of configuration settings |

## Management of original source records during process

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Number** | **Tracking method** | **Transportation method** | **Preparation of records and assembly of batches of source or original records** | **How will the records be handled during digitisation?** |
| 3.1.A | How the source or original records are to be tracked to ensure that their location is known at all times  e.g. mail is delivered to [x] and [y] locations.  After opening, it is sorted into batches . | How the source or original records are to be transported to and from the digitisation location where appropriate | Detail how you will prepare records e.g. removal of clips, removal of covers.  Detail how you will separate records into batches according to types that are suitable for digitisation at one time  e.g. size, colour, date order, document formats, orientation – portrait or landscape, single or double sided.  e.g. list standard batch types or workflow maps. | Describe handling of records, including:  Special handling of multilayer documents  e.g. documents with annotations on the back, documents with attached notes, highlighted records.  Special handling of different types of documents, including ensuring that the original source record and the digitised record are put back together in the correct order and methods for digitising original source records with special requirements (e.g. thin, oversized, fragile).  Multiple type documents may need to be scanned with different machines and put back together, and thin or fragile documents scanned using a flatbed scanner. |

## Capture of metadata

Use the below table to detail required metadata and how it should be captured when digitising records –applying *PROS 19/05 S2 Minimum Metadata Requirements Specification*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Number** | **Metadata elements** | **Description** | **How applied** | **Metadata capture instructions** | **Who captures what when** | **Tools** | **Metadata association** |
| 3.1.A | The metadata element that must be captured e.g. Agent | List how the metadata element is described in PROS 19/05 S2 | Describe how the element applies to the records with best information at the time of developing the Digitisation Plan [e.g. if the element is ‘Agent’ list the individuals, roles, business units and systems.] This may be refined/change as you capture the metadata during digitisation. | Any instructions for capturing the metadata elements (e.g. identifying metadata elements on the original source records, controlled vocabularies and valid values). | Who captures each element and when are they to be captured  e.g.  1) scanning officer (position) selects image from document processing queue  2) following quality control and assurance processes, enters all metadata in accordance with metadata value instructions | What tools are used for data entry and storage | How the metadata is to be associated with the records.  e.g. is it embedded in image or just on an excel spreadsheet. |

3.1.1 Quality assurance: metadata accuracy

Use the below table to describe how you will ensure the metadata is correctly captured.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Number** | **Operator training** | **Metadata checks** | **Permissible variations** | **Details of any additional related documentation** |
| 3.1.1.A | The type and level of training required to ensure that the images are a full and accurate copy of the original source record | Frequency and criteria for checks on metadata | Any acceptable variations from normal procedure | Any additional documentation of the quality assurance processes |

## Generation of digitised records

Use the below table for describing the process for generating digitised records.

|  |  |  |  |
| --- | --- | --- | --- |
| **Number** | **Details of any additional modifications in post-processing the records to correct image quality** | **Naming convention** | **Combination (where appropriate)** |
| 3.2.A | Steps involved in post processing of the digitised images  e.g. cropping, adjustment of contrast, brightness, colour, down sampling, and saving as particular file types / compression  How will the Scanning software be used to increase the digitised image quality?  e.g. Crop: removal of black borders from edges  De-skew: corrects orientation of images scanned on an angle  Blank page removal: detects and removes blank pages  Automatic brightness: automatically sets optimal image brightness . | Naming convention for the computer files containing the documents. | When and how to combine multiple images into a single document (including attachments, non-standard size pages, post-it notes). |

## **Quality control process**

3.3.1 Digitisation workflow

Use the below table to describe the process for ensuring that the digitisation workflow produces full, complete and accurate records (all images are recombined into a single document, documents are captured correctly into the system which will manage them).

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Number** | **Operator training** | **Sampling** | **Metadata association & registration** | **Permissible variations** |
| 3.3.1.A | The type and level of training required to operate the digitisation equipment. | What are the checks to ensure that any naming conventions and coding is being maintained?  Include details of extent and frequency of sampling. | How is your public office ensuring that individual images are being captured into the right aggregations in the right order, page and files? | Any acceptable variations from normal procedure. |

### 3.3.2 Image accuracy

Use the below table to describe the process and digitisation equipment being used to ensure that accurate images are produced.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Number** | **Scanner or camera operation** | **Sampling** | **Image quality criteria** | **Permissible variations** |
| 3.3.2.A | Quality control procedures for scanner operation. | Extent and frequency of sampling of digitised images. | Criteria for checking image quality  e.g. Documents are checked at the point of scanning that all pages or items are scanned and in their entirety. That they are not upside down and unreadable. | Any acceptable variations from normal procedure. |

### 3.3.3 Capture and management of digitised records

Systems and processes for capturing and managing the digitised records are described below:

* Provide details of the system where the digitised records will be held and managed and the process for ensuring this.

## Reprocessing of original source records

The steps for reprocessing a source record when the quality assurance process has identified a failure to capture a full and accurate digitised copy of the record are as follows:

* E.g. if a record needs to be re-scanned it will be retrieved from the relevant box and re-scanned. It will be checked for metadata accuracy and image quality.

## Quality failure processes

Where a quality failure is identified, the table below outlines the process to identify and check other records that could be affected to ensure that there is not a systematic problem.

|  |  |  |  |
| --- | --- | --- | --- |
| **Number** | **Audit** | **Sampling** | **Documentation** |
| 3.5.A | Frequency and criteria for audits of operator practice, hardware, software, and storage. | Extent and frequency of sampling and method of obtaining a sample for checking. | Documentation of the auditing processes. |

## Logging and analysis

Quality assurance testing and results are routinely logged and analysed to check for trends and detect systematic problems using the following process:

* Detail the processing for logging and analysis

# Digitised images which will be produced

The below table sets out the minimum technical requirements for different record formats. Delete the rows which are not applicable. A separate section must be completed for each type of original source document (e.g. documents, volumes or colour photogaphs).

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Document type | | Resolution required | Type of image | Bit depth | Colour management | Details of resolution, compression and output format of the digitised records |
| Text documents, including those which contain images | Clean high contrast bi-tonal documents | 200 dpi | Bi-tonal | 1 bit | Not applicable | Note: if the records are permanent, the output format must comply with PROS 19/05 S3 Long Term Sustainable Formats Specification |
| Colour or low contrast documents | 200 dpi | Colour | 24 bits | Embedded ICC colour profile |  |
| Photographs | Black and white | 600 dpi | Greyscale | 8 bit | Embedded ICC colour profile |  |
| Colour | 600 dpi | colour | 24 bit | Embedded ICC colour profile |  |
| Negatives | Black and white | 2400 dpi | greyscale | 8 bit | Embedded ICC colour profile |  |
| Colour | 2400 dpi | colour | 24 bit | Embedded ICC colour profile |  |

# Management of digitised records

## Management and retention of digitised records

|  |  |  |  |
| --- | --- | --- | --- |
| **Number** | **System where the digitised images will be held and managed** | **RDA & Class** | **Retention period** |
| 5.1.A | The system to be used to manage the digitised records. | Retention and Disposal Authority, Class no and Reference for the digitised records. | List the minimum required retention period for the digitised records. |
| 5.1.B |  |  |  |

## Security and access control

Use the table below if you are planning to implement any processes for security and access control, including system security and the physical security of the media and servers. Remove if not relevant.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Number** | **System security** | **Media security and access** | **Server security and access** | **Quality assurance** | **Documentation Requirements** |
| 5.2.A | System security and access for all copies of the data including those held for back up and disaster recovery regimes. | Media security and access for all copies of the data including those held for back up and disaster recovery regimes. | Server security and access for all copies of the data including those held for back up and disaster recovery regimes. | Quality assurance procedures to ensure that security and access controls are appropriate. | Documentation for system and physical security and of access controls. |

## Storage, backup and recovery

Use the table below to describe the process for taking copies of the records and their contextual metadata for the purpose of routine recovery of information that is lost due to media failure, minor system failure and operator error.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Number** | **Storage** | **Back up** | **Restoration** | **Testing process and media refresh** |
| 5.3.A | Storage arrangements of backups including the type of media and software used. Describe any automatic storage of second copies (e.g. RAID storage). | Backup software and process, including frequency. | Restoration procedures.  Refer to the Disaster Management and Recover Plan in place and the process for the management and recovery of digitised records and their metadata in the event of a disaster. | The testing process used to detect any deterioration of the media or corruption of the records.  Refer to periodic verification procedures to ensure that the Disaster Management and Recover Plan is operating correctly and that data loss is minimal.  Details regarding the periodic refreshing of the media. |

5.3.1 Quality assurance: storage reliability

Use the table below to outline the process for ensuring that the storage system used can reliably hold the records for as long as they are required.

|  |  |  |  |
| --- | --- | --- | --- |
| **Number** | **Audits** | **Validation** | **Media management** |
| 5.3.1.A | Frequency and criteria for audits conducted of both backup and restore to identify and mitigate risks to the records. | Frequency and criteria for validation checks of copies of records on media. | Plans for the management of media so that records can be migrated when at risk. |

## Permanent value digitised records [if applicable]

Detail the measures being put in place to ensure permanent value digitised records can be transferred to PROV at the appropriate time in the future:

# Management of original source records

Use the table below to describe the management of original source records after they have been successfully digitised and the digitised images quality checked.

## Arrangements for management of original source records until disposal

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Number** | **Record type** | **Management arrangements and system for original source records** | **Linking method (where appropriate)** | **Quality control** |
| 6.1.A | The type of original source record  The authorisation process for ensuring original source records can be legally destroyed - Signoff by head of business unit/ sign off by records manager | The management arrangements and system used to manage the original source record until their disposal. | The method of linking between the digitised records (in their record system) and the original source records (in their record system).  e.g.  1) Original source records will be stamped with a date of receipt and arranged (insert process) e.g. in day boxes/ in document/record order, by date registered  2) A document/record number is assigned to each document upon its registration into the records system. Records can be retrieved by locating this unique identification number. | Quality assurance measures in place for verification to occur (e.g. minimum retention periods of original source records before destruction to allow for verification of digitised records) |

## Destruction of original source records (if authorised)

Remember: the original source records CANNOT legally be destroyed unless authorised by *PROS 19/07 Retention and Disposal Authority (RDA) for Converted or Digitised Records*.

|  |  |  |  |
| --- | --- | --- | --- |
| **Number** | **Record description** | **Authorisation of destruction** | **Secure destruction** |
| 6.2.A | Give a meaningful title for the records which are to be digitised. (e.g. Community Sporting Fund Grant Application Files, Child Protection Notification Files). | Internal authorisation procedures are met (e.g. signoff by head of business unit) | Detail measures to ensure secure destruction of original source records |