



Digitisation Plan for Pre-Action Conversion Records (Template)

RIM Professionals Australasia - Local Government Chapter, Victoria

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Foreword

Purpose of this Template

This document comprises a Digitisation Plan Template which can be used by all Victorian councils to prepare a Digitisation Plan for their pre-action conversion records.

The template should be considered a starting point only. Each council must amend the template to suit their specific requirements, circumstances, and preferred terminology. Prompts are included throughout the text for site-specific information.

It is intended that Sections 1-8 are used as the basis for the council-specific plan, as required to meet PROS 10/2: Specification 1.

Template Development Process

This template is the result of wide-consultation between subject matter experts in Victorian Local Government, and input by PROV. The development process included: establishment of a Steering Committee, smaller working groups, PROV advice and the receipt of feedback from many Victorian councils. Following a comprehensive development process, this template may be considered an authoritative basis for each council's Digitisation Plan.

Review

This Digitisation Plan Template will be reviewed annually to ensure it is current and reflects changes to systems, processes, technology or standards. The Local Government Chapter welcomes feedback on the Template at any time.

The RIM Professionals Australasia Local Government Chapter (Vic) President is responsible for facilitating a review of the template on the anniversary of its publication.

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1 INTRODUCTION

1.1 PURPOSE

The purpose of this plan is to establish processes that must be followed to convert hardcopy documents to digital format, and then dispose of the source documents. The digitised record will be regarded as the official record of the agency. This plan applies to pre-action conversion only: those documents received by Council which are digitised before being sent to a Council staff member for action.

1.2 SCOPE

The digitisation plan applies to all pre-action digitisation activities irrespective of:

- the age of the records
- whether the records are temporary or permanent.

The plan does not apply where:

- the physical source document is to be retained as the official record of the agency after digitisation (i.e. the digitised copy is purely an access copy);
- the records are 'born digital': records that were created in a digital format and are held in that format;
- the records are digitised after they have been actioned by an officer of the agency (post-action conversion).

1.3 GLOSSARY

- **Converted Record** – The copy of the record resulting from the conversion process (compare with source record). For example, the digitised copy of a paper record
- **Digitising / Digitisation** – The process of converting a physical record to a digital representation #
- **Official Record** – Where more than one copy of a record exists, the official record is the one used by the council as part of their work activity and retained for the length of the retention period. The official record should contain all annotations made to the document. Annotations should always be made to the official record instead of a copy. For example, where a record is digital, notes should be made against the digital record, not a printed hard copy.
- **Post-action Conversion** - A conversion activity in which source records are converted after they have been actioned by an officer of an agency. For example, back-file conversion of existing paper records – also known as back scanning (compare to pre-action conversion). The key characteristic is that post-action conversion involves converting the records that were used by the agency staff in carrying out the business of the agency, *after* they have been used
- **Pre-action Conversion** – A conversion activity in which source records are converted before they have been actioned by an officer of an agency. For example, the digitisation of paper records as they are opened in the mail room (compare to post-action conversion). They key

characteristic is that pre-action conversion means that agency staff use the converted records in carrying out the business of the agency

- **Public Record Office Victoria (PROV)** - the records and archival authority for Victoria, responsible for assisting government agencies such as Councils to manage their records.
- **Records System** – an information system which captures, manages and provides access to records through time.
- **Source Record** – The copy of the record that is being converted into another format (compare with converted record). For example, the paper record that is being digitised. This is usually hardcopy.
- **VERS** – Victorian Electronic Records Strategy
- **VEO – VERS Encapsulated Object** – a record which has been encapsulated using XML and which contains documents expressed in a long term preservation format.
- [\[insert additional terms or amend/delete as required\]](#)

2 REFERENCES

2.1 LEGISLATION

- Evidence Act 2008 (Victoria)
- Public Records Act 1973
- Local Government Act 1989
- Electronic Transactions Act 2000 (Victoria)
- Crimes (Document Destruction) Act 2006
- Evidence (Document Unavailability) Act 2006

2.2 STANDARDS AND SPECIFICATIONS

- ISO/TR 13028-2010 Implementation Guidelines for Digitisation of Records
- Digitisation Requirements, PROS 10/02/S1, Version 1.0, January 2010, Public Record Office Victoria Specification
<http://www.prov.vic.gov.au/publications/publins/1002s1.pdf>
- Digitisation Image Requirements, PROS 10/02/S2, Public Record Office Victoria Specification
<http://www.prov.vic.gov.au/publications/publins/1002s2.pdf>
- Management of Electronic Records (VERS Standard), PROS 99/007, Public Record Office Victoria,
<http://www.prov.vic.gov.au/vers/standard/version2.asp>
- Digitisation Standard, Archives New Zealand, 2007,
<http://continuum.archives.govt.nz/files/files/standards/s6.pdf>
- General Retention and Disposal Authority for Converted Source Records (PROS 10/01), Public Record Office Victoria
http://www.prov.vic.gov.au/pdf/PROV_a10-01.pdf

- General Retention and Disposal Authority for Records of Local Government Functions (PROS 09/05), Public Record Office Victoria
<http://www.prov.vic.gov.au/records/dispschl.asp>
- General Retention and Disposal Authority for Records of Common Administrative Functions (PROS 07/01), Public Records Office Victoria
<http://www.prov.vic.gov.au/records/dispschl.asp>
- Retention and Disposal Authority for Records of the Aged Care Function (PROS 09/10), Public Records Office Victoria
http://www.prov.vic.gov.au/records/pdf/PROS_09-10_Aged_Care_Master-Web_20100618.pdf

2.3 DIGITISATION PLAN GOVERNANCE

This Digitisation Plan will be reviewed annually to ensure it is current and reflects changes to systems, processes, technology and standards.

The Records Unit Manager/Coordinator [\[amend position title, as appropriate\]](#) is responsible for facilitating this review, on an annual basis at a minimum, or after a shorter period if required.

The initial plan [\[insert council document reference, if appropriate\]](#) is endorsed by the Chief Executive Officer. All significant changes to that endorsed plan will also be endorsed by him/her.

2.4 RESPONSIBILITIES

All staff must comply with the standards and processes established in this Digitisation Plan.

The Records Unit Manager/Coordinator [\[amend position title, as appropriate\]](#) is responsible for regular auditing to ensure that processes are being followed and the quality of the digitised records meets minimum standards.

The Chief Executive Officer is responsible for endorsing the Plan before implementation, as required to meet Public Record Office Victoria standards. See Appendix 2 for suggested wording.

3 DIGITISATION ACTIVITY PLAN

This Digitisation Activity Plan outlines the digitisation process in detail so that full, accurate and complete converted records will be generated. This plan applies to pre-action conversion only: the digitisation of records prior to them being sent to an officer for action.

3.1 SCOPE DEFINITION

Incoming documentation received by the Records unit [amend unit name, as appropriate] will be digitised/converted on receipt. This includes hardcopy mail received by Council via the mail room

Councils should consider digitising only those documents normally considered to be of corporate significance or which meet a specific business need. For example, advertising, conference invitations and similar documents do not need to be registered into the records system as they are not considered corporate records, but invitations to the Mayor may be digitised and registered as they are recorded as part of a business process. [insert council-specific examples, if required]. The digitised document will become the official record of Council and all actions must be taken on the converted/digitised record, not the hardcopy source record.

The digitisation of incoming corporate records is an ongoing activity. These processes will largely be carried out by the Records unit [amend unit name, as appropriate]. Some key staff in other work areas may also be involved [provide additional details, or delete if not relevant].

Digitisation will be completed by staff with the appropriate training and equipment. For digitisation activities, the Records unit [amend unit name, as appropriate] have scanning equipment which enables batch scanning of documents (A3 or smaller) and also large documents such as plans (up to A0 in size) [amend if required]. The Records unit [amend unit name, as appropriate] staff are highly trained in digitisation processes and the use of this equipment.

Council staff are expected to digitise any source documents received directly by them, or to forward them to trained staff for processing [amend, or insert your Council process].

Definition of 'Official Record'

When a pre-action conversion document is digitised according to this Plan, the converted/digitised record becomes the **official record** of the agency. The source record will be kept for a minimum of [insert the agreed period of time, pending your council risk profile, but a recommended 3 months minimum] months and will then be eligible for disposal.

However, if the source record is retained as the official record after digitisation, then the digitised record is considered an access copy only. If the source record is used in a business process (for example, sent to a business unit for use in their processes), the document may be annotated or otherwise altered. In this case, it will not be possible to dispose of the physical source document without substantial additional work.

3.2 APPRAISAL ANALYSIS

Refer to **Appendix 1** for an indicative list of Council records which are classified as Temporary or Permanent under PROV Retention and Disposal Authorities: PROS 07/01, PROS 09/05, or PROS 09/10.

All records registered onto the records management system are assigned a retention class or category from the relevant disposal authorities listed above [insert specific and relevant processes].

A risk analysis must be completed for each record type being converted (see Section 3.6: Risk Analysis). It may be decided to retain some source records due to their historical value or to minimize the risk of their authenticity being challenged. Some examples of records that Councils may consider retaining in hardcopy are:

- Documents to which the Council seal is affixed
- Significant (non-routine) contracts and agreements containing all signatures
- Bound Council minutes and agendas
- Planning and building permits
- Records pertaining to large infrastructure permits
- [\[insert/amend/delete record types as required, based on which source documents/record types your Council has decided to retain in hardcopy after digitisation\]](#)

3.3 PURPOSE OF DIGITISATION

Incoming source records are digitised primarily to:

- i. **Enable quick and efficient access to information** – once documents are registered into a records system they can be quickly sent to the relevant Council officer for action and are available for viewing (depending on access restrictions) to multiple officers simultaneously;
- ii. **Make business processes more efficient** – moving from a paper-based system to an electronic system removes unnecessary time and effort to administer a hardcopy or dual process;
- iii. **Increase security and auditing of documents**– electronic records systems provide audit trails to show who has viewed, edited, distributed or exported documents; and
- iv. **Enable disposal near the time of receipt rather than at the end of the retention period** – electronic documents are now regarded as having the same evidentiary weight as hardcopy source records. Disposal of the source records, after quality assurance processes have taken place, may save Council significant time and costs in the storage of hardcopy records.

3.4 STATEMENT OF BENEFITS

The following benefits can be realised by digitisation of pre-action conversion documents e.g. incoming correspondence and documentation:

- i. All officers will have immediate access to a registered document irrespective of office location;
- ii. Electronic records can be viewed/accessed by more than one person simultaneously. This eliminates the reliance on individuals for knowledge as the document is accessible by multiple staff;
- iii. Updates and actions completed can be added by multiple staff and are accessible immediately, enabling information to be shared across the organisation and with residents as required, rather than relying on one or a certain few individuals to supply information;
- iv. Electronic records can have access and edit controls applied and enforced by a records system to control who can view and edit documents and allow version control and edit tracking;
- v. Electronic records are not subject to the same risk of loss or physical damage that hardcopy records are. Time spent searching for lost hardcopy documents will be reduced;
- vi. Electronic records can be work flowed or actioned electronically, speeding up processes and with the benefit of escalations or reminders built into the workflows

- vii. Electronic records have viewable audit trails which enables system administrators to identify who has done particular actions to a record (e.g. exported it from the system);
- viii. Electronic records can be referenced in one or more business applications.
- ix. Managing physical records is time consuming and costly for storage, retrieval and courier fees. Manual handling carries inherent risks to staff. Converting to an electronic records environment eliminates these costs, time delays and risks; and
- x. Digitisation will allow the destruction of the source record after a short period of time, reducing the amount of storage space required for hard copy records, and associated costs.

3.5 USER NEEDS AND IMPACTS

Council officers will be required to undertake all work using the converted/digitised record, not the source record, as the converted record is considered the official record of the agency. All notes and actions must be applied to the digitised record using the records system.

Working solely electronically may require the purchase of additional equipment, such as dual screens, larger screens or scanners for business units. Equipment costs must be taken into account in budgetary and change management processes. The shift to more fully electronic processes requires strong and ongoing commitment from Management to support and drive the changes required.

[Process change may be required to enable digital workflows/actions. Analysis of process flows and practices may be required. Insert references to relevant documentation, such process changes descriptions, Process Maps, Change Management Plans, and Communication Plans]

Although the converted record will be the official record for most digitised documents (e.g. standard size, black and white documents), some hardcopies may be required by the action officer.

For example:

- Forms which need to be completed and sent off e.g. apprenticeship forms;
- Copies of contracts/agreements/leases sent in for Council signature;
- Documents for which colour is important and it may not be captured accurately by colour scanning e.g. a planning permit for a sign;
- [insert/amend/delete as appropriate]

The forwarding of source records to a work area should be restricted to only those document types or processes that are absolutely necessary; where source records are distributed or are used as part of a business process, they retain the status of official record, as they may be annotated or otherwise amended. The digitised record is then regarded as an access copy only. If source records are used in a business process, they must be retained and managed in hardcopy, significantly reducing the benefits described in Section 3.4: Statement of Benefits.

Source records that have been amended and returned to the Records unit [amend unit name, as appropriate] for digitisation will become part of the digitisation process for post-action conversion records (not covered under this plan). These records may include:

- a completed apprenticeship form that needs to be captured digitally before being mailed,
- document with payments that have been receipted by Finance, and then returned for digitisation.

3.6 RISK ANALYSIS

The main risks of converting records are that:¹

- the authenticity of a record may be challenged and proof cannot be ascertained from the converted record, but could have been from the source record;
- a converted record may be incomplete due to a poor conversion (e.g. a page missing);
- a converted record may be lost due to inadequate records management systems, particularly where the record is required to be retained long term.

The risks of digitising pre-action records can be summarised as follows:

| Risk Description | Likelihood | Consequence | Inherent Risk | Controls | Residual Risk |
|---|--|---|---------------|--|---------------|
| The authenticity of the record cannot be ascertained from the converted record | <i>Possible</i> - Could occur within "months to years" | <i>Major</i> – record cannot be relied upon in a legal context as an authentic record | High | Processes and metadata standards should be implemented as outlined in the <i>Management Plan for the Converted Records</i> | Significant |
| A full and accurate record may not result from the digitising process, e.g. pages missing | <i>Likely</i> - Could occur within "weeks to months" | <i>Minor</i> – temporary loss of information - rescanning can be done | Medium | Processes outlined in <i>Quality Control & Assurance Plan</i> | Low |
| Converted records may not be used as the official record of the business | <i>Likely</i> - Could occur within "weeks to months" | <i>Moderate</i> – source records may be annotated instead of the converted records | Significant | Processes outlined in <i>Management Plan for the Source Records</i> . | Medium |

¹ Section 3.5, PROS 10/1 Guideline 1: Guide to the GDA for Converted Source Records

| Risk Description | Likelihood | Consequence | Inherent Risk | Controls | Residual Risk |
|--|--|--|---------------|---|---------------|
| Converted records may be large in file size causing a slow response time to view from the desktop | <i>Likely</i> - Could occur within "weeks to months" | <i>Moderate</i> - staff may not accept digitised records due to usage issues | Significant | Large source records may be split to facilitate smaller electronic records being created, as per the <i>Digitisation Processing Plan</i> . Software and hardware may need to be upgraded and additional memory purchased. | Medium |
| Security of converted records may be compromised due to the ease with which electronic documents are copied and disseminated | <i>Likely</i> - Could occur within "weeks to months" | <i>Major</i> – breach of privacy / confidentiality | High | Processes and security controls should be implemented as outlined in the <i>Management Plan for the Converted Records</i> | Low |
| Converted records may be lost due to hardware failure or disaster | <i>Unlikely</i> - Could occur in "years to decades" | <i>Major</i> – permanent loss of Council records | Significant | Backup and restore processes outlined in the <i>Management Plan for the Converted Records</i> | Low |
| Organisational resistance to acceptance of digitised information as a official record | <i>Likely</i> - Could occur within "weeks to months" | <i>Moderate</i> - staff may not accept digitised records due to usage issues | High | Education, promotion & training. Active endorsement from Management | Low |

3.7 INTELLECTUAL PROPERTY ANALYSIS

Intellectual property issues should not apply to most incoming source records. Where Council receives a publication that has been purchased from another party, usage rights may need to be checked before the document is digitised and made widely available through the records management system.

3.8 FORMAT REQUIREMENTS

Some categories of source records must be retained in a specific format under legislation, regulation, government policy/directive, agency policy, standard, or written PROV directive.

The only format requirements for [insert council name] known at this time [insert date of Digitisation Plan creation] are that certain Building Permit documents must be retained in original format for 10 years.

[The Records unit will confirm with each work area if any other format requirements exist, prior to implementing the digitisation process for all pre-action conversion documents].

3.9 VALUE AS AN ARTEFACT

Source records will not be disposed of if they have value as artefacts. Such records may have the following characteristics*:

- Original works of art *
- Records of international, national or cultural significance *
- Original proclamations, charters, testimonials and intergovernmental treaties and agreements *
- Records with a physical element attesting to their authenticity or evidential value e.g. corporate seal or watermark *
- Records of extreme personal significance e.g. an adoption file with hand written letters from a person's biological parents *
- Records with aesthetic qualities e.g. a beautiful hand written ledger from the turn of the century, even though it only contains petty cash records
- Records of historical significance, which may benefit from being retained in their original format e.g. for museum display purposes.

Keeping an original record or source document due to its value as an artefact is a subjective decision best undertaken on a case by case basis, though it may be possible to broadly classify certain records as such, e.g. any document onto which the Council seal has been affixed.

[Note – Advice can be sought from PROV on the value of records as artefacts. It is unlikely that records converted pre-action will have these characteristics – it is more likely that records with these characteristics will be encountered during a post-action “back-scanning” project, in which case permission must be sought from PROV before the source records can be destroyed].

3.10 PROV LOAN CHECK

Records which are currently on loan from PROV must not be destroyed. As usually only permanent records are transferred to PROV, a thorough check should be made of any permanent records identified for disposal to ensure that they are not on loan, and the results of that check documented.

* From PROS 10/01 Guideline 1: Guide to the GDA for Converted Source Records

3.11 SOURCE DOCUMENT REVIEW

As this Digitisation Activity Plan is specifically for pre-action conversion records, it applies to incoming documentation. It is not possible to predict exact volumes or characteristics as these documents are received daily, in various sizes and formats.

The main characteristics of these documents are as follows [\[amend as appropriate\]](#):

| Characteristics | Details |
|---------------------|--|
| Type | A3 size or smaller = 70%; A2 – A0 size = 30% |
| Quantity | [insert statistics of incoming documentation received per day, on average, minus documents that will become part of a post-action conversion process] |
| Mix | The majority of documents are A4 size, but all sizes are present |
| Image size | Will vary according to whether documents are scanned in colour, grey-scale or black and white, and also according to the original size of the physical document |
| Document Structure | All combinations are present. Bound documents, e.g. external public reports, may be able to be sourced from the web rather than scanned, resulting in a better quality digital image |
| Document Condition | Fairly good quality, but varies |
| Information Content | Mainly text and drawings e.g. plans, but some sticky notes and handwritten letters |
| Simplex or Duplex | Both |

3.12 EQUIPMENT AND RESOURCES

The digitisation of incoming source records is an ongoing activity, and these processes are carried out by staff with the appropriate training and equipment, usually the Records unit [\[amend unit name, as appropriate\]](#).

Staff undertaking digitisation require scanning equipment with capabilities for A4, A3 and up to A0 documents, colour, black and white, and greyscale scanning, plus technical support for the maintenance of equipment and software. These staff will also need adequate training to ensure they undertake processes correctly.

If the digitisation process is outsourced to a third party, the vendor must follow all the same guidelines as if the activity was being performed by Council staff.

This section sets out the requirements for the digitisation image standards. The table below shows the digitisation requirements for each type of source document that Councils capture and digitise before it is actioned. The table below specifies the minimum standards only [\[amend to higher levels for your council, if appropriate\]](#). For low risk documents you may choose to scan at lower resolution, as long as the resultant image is acceptable for required uses of the records. Usability tests will need to be conducted.

All documents shall be scanned using one of the following [\[insert Council name\]](#) approved image formats: [Select from the VERS compliant formats: TIFF, PDF/A, JPEG, and JPEG2000. Agencies should only use JPEG where the digitisation device *only* produces JPEG images].

It is recommended that TIFF is NOT used for multi-page documents, as it is not widely supported in image viewing software. Multi-page documents should be scanned into PDF/A format.

| Source Document Type | Minimum Recommended Standards | Output Format |
|---|---|-----------------------|
| Black & White Text Based documents (clean, high contrast) * | Resolution: 200dpi Type of image: bi-tonal Bit-depth: 1 bit Compression: Lossless compression | PDF/A TIFF |
| Plans and drawings where colour is not meaningful | Resolution: 200dpi Type of image: bi-tonal Bit-depth: 1 bit Compression: Lossless compression | PDF/A TIFF |
| Documents where colour is present and important, or Faded, Low Contrast documents * | Resolution: 200dpi Type of image: Colour Bit-depth: 24 bit Colour Management: Embedded ICC colour profile Compression: Lossless compression | PDF/A JPEG TIFF |
| Colour Plans, Maps & Drawings) | Resolution: 200dpi Type of image: Colour Bit-depth: 24 bit Colour Management: Embedded ICC colour profile Compression: Lossless compression | PDF/A JPEG |
| Black and White Photos | Resolution: 600dpi Type of image: Greyscale Bit-depth: 8 bit Colour Management: Embedded ICC colour profile Compression: Lossless compression | PDF/A JPEG |
| Colour Photos | Resolution: 600dpi Type of image: Colour Bit-depth: 24 bit Colour Management: Embedded ICC colour profile Compression: Lossless compression | PDF/A JPEG |
| Handwritten Documents | If high contrast, use settings under Black & White Text Based documents. If low contrast, use settings under Faded, Low Contrast documents. | |

* Where a document is mixed black and white and colour, scan in the highest resolution required.

5 DIGITISATION PROCESSING PLAN

The Digitisation Processing Plan details the workflow used to generate full, accurate and complete records from the source documents.

5.1 PROCESS SET-UP

The incoming mail and digitisation process is managed in a consistent manner, as follows.

Documentation is digitised by the Records Unit [amend unit name, as appropriate] or other trained staff.

The hardware used is [insert hardware/scanner model details]. The hardware is located at [insert machine location]. The machines are serviced regularly [insert service frequency] by an appropriate maintenance/service supplier. The machines are cleaned by council staff regularly [insert frequency], according to [insert procedure if one exists].

The scanners use [insert software details e.g. Kofax Capture Version 9.00.554].

Scanner configurations are consistent across each machine. Prior to scanning being undertaken, configuration settings are checked and confirmed.

[It is recommended that each council insert screen shots to capture the configuration settings used for hardware and software. Multiple hardware options may require separate screen shots to be documented. Suggestions for configurations are listed below]

Hardware configuration options are set to the following standard:

- Multi-page Detection - High
- Document rotation – Detect and Straighten
- Colour detection – Off
- [insert additional settings specific to your scanner]

Software configuration must be set to the following standard:

- Page Rotation - Default
- Output Path – Users Network Document Queues
- [insert additional settings specific to your scanner]

5.2 RETRIEVAL OF RECORDS

Incoming records are tracked so the location of source records is known at all times.

Mail is delivered to [insert location. If multiple locations, include variations to the process for the different sites].

All mail is opened by [insert details of the team or position that is responsible for opening the mail].

After opening, incoming mail is sorted into various types (batches).

[insert references to council incoming mail process, workflow map and list of batch types, if appropriate].

5.3 PRE-PROCESSING OF RECORDS

Not all incoming documentation or correspondence will follow the 'scan/destroy' process, and some items may not need to be digitised.

With the adoption of the Digitisation Activity Plan, [insert Council name] will scan and destroy after [insert an appropriate period of time pending your council risk profile, but a recommended 3 months minimum,] all incoming documentation, except for the records listed below which will be kept in their source format until their scheduled disposal date under Retention and Disposal Authorities PROS 07/01 and PROS 09/05.

[List all record types that are not to be destroyed, pending your council risk profile. The list may include]:

- Signed contracts
- Signed agreements
- Endorsed plans
- Licenses
- Titles
- Major projects
- Correspondence of a contentious nature
- [add/amend/delete, as appropriate]

The documentation/correspondence listed below will not be digitised as these are not considered Corporate Records:

- Annual reports from other organisations
- Advertising brochures, etc
- Invitations to Council staff
- Conferences and seminar notifications for Council staff
- [add/amend/delete, as appropriate]

The physical preparation of records for digitising will be in accordance with [insert document reference, or describe the process. The process may include the following details:]

- Separate into batches according to type of correspondence or documentation, size, colour formats, orientation (portrait or landscape), single or double sided.
- [insert list of batch types, such as Planning & Building, Local Laws, Personnel, Rates, Engineering & miscellaneous, if appropriate.]
- Remove staples, paperclips and other binding systems.
- Flatten paper and remove creases
- Insert Separator pages.
- Remove sticky notes, and scan separately if containing important information.
- Scan records.

5.4 SCANNING RECORDS

The specific scanning needs for each document will be identified for appropriate handling and to ensure the resulting image is full, accurate and complete: this may include considerations for multilayer documents and various types such as plans and memos, or documents that are physically fragile.

For Scanner instructions refer to [\[insert reference to scanner instructions e.g. TRIM document 08/26365 – Scanning instructions.\]](#)

For multilayer documents, (e.g. A4 and A0) , each section of the document may need to be scanned on different machines then merged into one document using PDF Writer or other software [\[insert council process\]](#).

Documents which are thin or fragile will be scanned using a flat bed scanner to reduce the risk of damage to the source record.

The scanning software will automatically perform the following image processing operations to improve the quality of the image files:

- Crop: removal of black borders from the edges of images, so each image is only the size of the source document.
- De-skew: corrects the orientation of images that been scanned on a slight angle.
- Blank Page Removal: documents are normally scanned in duplex mode; blank pages are generated by the scanner for the back of single sided documents. This operation detects and removes blank pages.
- Automatic Brightness: This operation automatically assigns an optimal brightness value for each image for maximum clarity.
- Automatic Orientation: The rotation of images that may have been scanned on their side or upside down to ensure they are correctly oriented for online viewing.

All scanner and software settings will be set and confirmed before scanning commences.

Quality assurance procedures are followed to ensure that all images satisfy usability requirements.

Scanned images will be checked for clarity, readability and correct number of pages by the scanner operator once the scanning has been completed.

Scanner settings will be checked before each batch is commenced.

Random quality control checks of scanned documents on the system should also be undertaken (e.g. visual comparison of scanned image to original of one in every 20 documents).

Documents will be checked for quality by three separate staff: at the time of scanning (by the scanning officer), when the document is registered into the system (by the registration officer), and by the Action Officer when s/he receives the document [\[insert your own procedures or work instructions\]](#).

All temporary documents will be kept for [\[insert the agreed period of time, pending your council risk profile, but a recommended 3 months minimum,\]](#) to enable rescanning if required.

5.5 POST-PROCESSING OF SOURCE RECORDS

All documents must be reassembled in the correct order as soon as the scanning process is completed.
[Coloured separator pages may assist in easy identification of each document]

[insert procedures including what measure of reassembly is required (e.g. rebinding not required, and bulldog clips sufficient) including reference to sticky notes and other notes attached to documents...]

5.6 CAPTURE OF METADATA

All scanned documents are electronically stored in Council's Record Keeping system [insert name and version (e.g. TRIM 6.2.5)] by either the Records unit [amend unit name, as appropriate] or other trained staff. The following process must be followed [insert process details, which may include the following].

- Select an image from the document processing queue;
- Assess image quality against source document;
- Rotate pages to correct orientation if required;
- Select the appropriate record type; and
- Enter all required metadata in accordance with data entry conventions.

[Insert record types, if appropriate. May include the following]

| Record Type | Usage |
|--------------------------------------|---|
| Electronic Document | Any document registered by a User and Emails |
| Scanned Documents | Documents scanned by Records with an action attached |
| Scanned Documents no Action required | Documents scanned by Records that don't require an Action |
| Planning & Building Documents | Documents scanned by Records that are related to Planning or Building |
| Bank Guarantees | Bank Guarantees |
| Pathway Documents | Pathway generated documents (these are not scanned images) |
| Contract Documents | Contract documents |

[insert Metadata elements to be captured for each record, which may include the following]

Elements from AGLS Metadata Standard: <http://www.naa.gov.au/records-management/publications/AGLS-Element.aspx>

The following standard set of metadata elements are recorded for scanned documents in [insert name and version (e.g. TRIM 6.2.5)] Record Keeping system.

| Metadata Element | Format | Mandatory? |
|-------------------------|--|------------|
| Record Number | e.g. YY/GGGGG Automatically generated by RKS | Y |
| Record Type | Validated from list of record types | Y |
| Record Title / Précis | Free Text | Y |
| Date Created | dd/mm/yyyy | Y |
| Date Received | dd/mm/yyyy | Y |
| Date / Time Registered | dd/mm/yyyy ; Automatically generated by RKS | Y |
| Primary Contact Details | Validated from list of contacts/organisations | Y |
| Action Officer | Validated from list of Action Officers | Y |
| Action Start Date | dd/mm/yyyy defaulted to date of registration | Y |
| Action Due Date | dd/mm/yyyy calculated automatically based on action start date | Y |
| Registration Officer | Validated from list of Officers | Y |
| Scanning Officer | Validated from list of Officers | Y |

| | | |
|---------------------------------------|---|---------------------------------|
| Container Record (File) / Index Entry | Validated from list of folders | Y or N depending on record type |
| Notes | Free Text | N |
| Related Records | Valid record numbers in RKS | N |
| Alternative Container / Index | Valid record numbers in RKS | N |
| Day Box | ARC/GGG | Y |
| <i>Linkages to other applications</i> | <i>Valid details from Pathway (add this if appropriate)</i> | <i>N</i> |

Metadata related to re-digitisation should also be captured.

For permanent value records, the metadata captured must comply with the VERS Metadata Scheme as these records will be required to be transferred to PROV. The simplest way to achieve this would be to ensure that all records are captured into a VERS compliant records system.

In addition to entering the above metadata elements, officers are responsible for entering the correct titling details as identified in the [\[insert document naming conventions or similar instructions \(e.g. Correspondence Process Document No S09/26190\)\]](#)

Each officer is responsible for capturing complete and accurate metadata upon document registration, except for system generated metadata.

The following tools are used for data entry and storage [\[amend as appropriate\]](#):

- Scanning software
- Document queues (i.e. Network Drive)
- EDRMS system
- server details (document store).

Quality Assurance procedures must be established and applied daily, to ensure accurate and consistent metadata entry.

The quality of metadata applied at document registration is checked by the [\[insert position title, as appropriate\]](#) in accordance with the agreed standards. This ensures that, as far as possible, imaged records are identified and named consistently. If an Officer continues to make errors in metadata use they will be required to undertake additional training to ensure they comply with agreed standards.

Documentation is required to be kept of the metadata captured.

[\[Insert position title\]](#) is responsible for digitising and registering the documents and entering the metadata. Metadata is captured [\[enter when the metadata is entered and captured\]](#). [\[Insert related Procedures e.g. digitisation and registration processes, document naming conventions\]](#) Re-digitisation should also be documented.

5.7 GENERATION OF RECORDS

Depending on the formats of the source record, the digital record may require merging of images into a single document (For example, an A4 planning application may need to be merged with an A0 sized plan, or non-standard size pages with post-it notes). Multiple images are captured into a single document according to this

process [insert document reference to process, or describe the process. e.g. PDF writer, Ezyscan, Scanning software automatically completes].

When it is not possible to merge the images into a single document (for example, due to excessive size), the process is [insert document reference to process, or describe the process.]

Computer files containing the documents through the digitisation process are named [insert your council's naming scheme. This may have been established by the IT department or your scanner may set a default naming pattern.]

Before registration into council's Record Keeping system [insert name and version (e.g. TRIM 6.2.5)] is finalised, a quality check is completed. The image is checked against the source document to ensure the correct metadata is applied to the correct document. A random audit check is also done to ensure that there are no errors. [insert document reference to procedure/instructions].

5.8 REGISTRATION OF CONVERTED RECORDS

Once documents have been scanned they will be registered into the corporate records system [insert name and version (e.g. TRIM 6.2.5)].

The General Retention and Disposal Authority for Converted Source Records (PROS 10/01) requires that the system holding temporary pre-action records be capable of transferring records to PROV. It does not require the system to be VERS compliant, although this would be preferable.

A system is capable of transferring records to PROV if it is practicable to generate VEOs from the records. Typically, this would require:

- The system holds the record content in an approved long term preservation format (e.g. PDF, PDF-A) - or the agency is capable of converting the content
- The system holds the mandatory VERS metadata
- The system is capable of exporting the metadata and the content
- The agency is capable of using the exported metadata and content to construct valid VEOs (e.g. using the Java tools produced by PROV).

5.9 RETURN OF SOURCE RECORDS

All scanned documents (with the exception of documents for which hard copies are being retained) are placed in day batch folders / envelopes and stored in archive boxes. The day batches are initially stored in the Records area and then later transferred to an inactive storage facility under the control of the Records Unit [insert process, or document reference]. Each archive box is registered into the Record Keeping system to allow for efficient location and retrieval of source records that have been scanned. These boxes will be kept for [insert the agreed period of time, pending your council risk profile, but a recommended 3 months minimum,] before being destroyed

A process should be established to track any source record that is provided to an officer. Where possible this should be avoided, as it removes the issue of which is the official record if officers do not have access to the source record.

5.10 REPROCESSING OF RECORDS

If a document needs to be re-processed /re-scanned, it will be retrieved from the relevant box and scanned as per the normal processes. The scanning operator should be careful to avoid the error that was in the initial scan (for example, a page missing). This re-processed document will then be retained for a further for [\[insert the agreed period of time, pending your council risk profile, but a recommended 3 months minimum\]](#) from the date it was re-scanned.

6 MANAGEMENT PLAN FOR SOURCE RECORDS

Source records are those records that will be converted into another format during the digitisation process. For example, in the case of physical mail received by the Council mailroom and being scanned and registered into a records system, the source records are the hardcopy documents and the converted records are the scanned images.

This Management Plan for Source Records outlines how source records will be managed over time after it has been established that the converted record is a full and accurate copy of the source record.

6.1 DISPOSAL STATUS

The General Retention and Disposal Authority for Converted Source Records (PROS 10/01) states that source records converted pre-action can be disposed of under certain conditions. Assuming the conditions outlined in other areas of this Digitisation Plan have been met (e.g. risk assessment and conversion validation processes are in place to ensure that a full and accurate copy of the source record has been created) source records can be disposed of after conversion, unless:

- (a) the source records have value as physical artefacts; and/or
- (b) there is a requirement to retain the source records in a specific format under legislation, regulation, government policy/directive, agency policy, standard, or written PROV directive.

Physical artefacts have the qualities outlined in the Digitisation Activity Plan.

Disposal applies to both temporary and permanent source records, unless a risk analysis identifies that particular types of permanent source records should be maintained. Otherwise, it will be the permanent converted record that is transferred to PROV, in alignment with the VERS Standard.

Prior to or as part of converting the records the Council must have determined which records are of permanent value and which ones are of temporary value. The permanent value converted records will need to be managed in such a way that:

- (a) VERS metadata can be captured; and
- (b) VERS Encapsulated Objects (VEOs) can be generated from them

for transfer to PROV when no longer required for business purposes.

Most Councils find that the most practical way of doing this is to ensure that the converted records are managed in a VERS-compliant EDRMS.

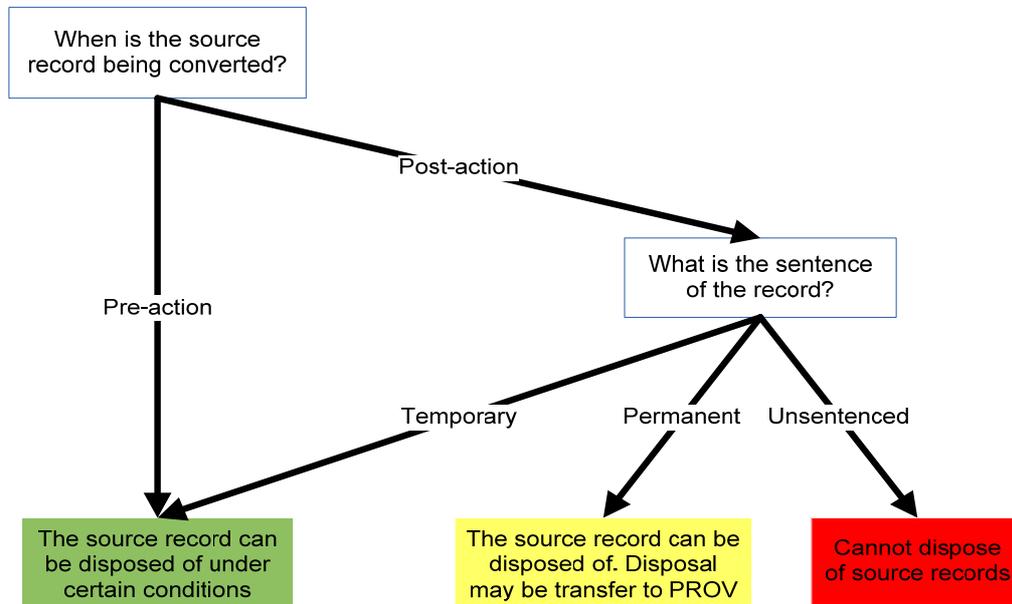
[insert any council-specific statement]

6.2 DISPOSAL PROCESS

After a source record has been converted, it must be kept and maintained for [insert the agreed period of time, pending your council risk profile, but a recommended 3 months minimum] after the date of registration into a records system, after which time it can be destroyed if (a) and (b) above do not apply, or it has not been identified as needing to be retained in hardcopy to suit Council requirements (Refer to Section 3: Digitisation Activity Plan).

As the digital images (pre-action conversion records) are sent to officers to be actioned, it is anticipated that any errors or problems with the conversion will be identified immediately by the officer, or within the for [insert the agreed period of time] timeframe. For example, if a page is missing in the converted record, or the scanned image is not clear, this should be obvious and will identified either by staff during the quality assurance phase of the digitisation, or by the actioning officer.

When a digitisation error or omission is identified by an officer, [inset council process for communicating and correcting the error].



* Diagram from PROS 10/1: Guideline 1 - General RDA for Converted Source Records (Section 3.7)

6.3 RECORD MANAGEMENT

A management system must be in place to manage the source records until their disposal. Where the records are eligible to be destroyed at the end of the [insert the agreed period of time] period, they should still be arranged so that it is possible to re-convert the records if problems are detected during this period.

Hardcopy Source records

Hardcopy source records will be stamped with a date stamp upon receipt and arranged in day boxes / envelopes, in document/record number order, by the date registered [insert council process]. A document/record number is assigned to each document upon its registration into the records system. This way, if any source record needs to be retrieved, it can be located by the date registered by going to that particular envelope or box, and locating the document with the unique document number on it. Arranging by date registered also enables the easy identification of which batches of records are due for destruction, i.e. have passed the agreed retention period.

6.4 AUDIT REQUIREMENTS

A record of any disposal must be maintained for disposal of both source and converted records. For pre-action conversion documents as outlined in this Digitisation Plan, there is no requirement to keep lists of individual source records that have been destroyed.

During registration, a note should be put against each converted record on the records system to state that “Source record will be destroyed after [date]”. [\[Insert council instruction. Depending on the records system a note may be able to be added to multiple records at one time to confirm the date the record was actually destroyed\]](#).

It will also be necessary to generate exceptions. For example, if a source record has been recalled during its [\[insert the agreed period of time\]](#) retention period, it is likely that it may need to be kept for a longer period. A report to identify these recalled documents should be available.

As source records are kept in day boxes, records will need to be kept of which day boxes have been disposed of and when. [\[insert council process or tools to manage this\]](#)

7.0 MANAGEMENT PLAN FOR CONVERTED RECORDS

[insert name and version of council EDRMS (e.g. TRIM 6.2.5)] is the official records management system of Council, and all records that have been converted from paper to a digital format must be captured and managed within [your EDRMS]. [Your EDRMS] is a fully functional and compliant electronic document management system (EDRMS). All nominated paper information received by Council will be converted into digital format by scanning, and captured into Councils EDRMS. Refer to Councils procedure for converting and capturing paper records into EDRMS for step by step instructions. [insert document reference]

[Your EDRMS] is used to –

- Index the contents of the digital records to enable thorough searching.
- Apply the appropriate classification to each record as it's captured into the EDRMS (refer to Councils standard on classification for inwards correspondence & documentation).
- Secure access to sensitive records. Records that are deemed to be of a sensitive nature must have the appropriate level of security / access control set as outlined in Councils EDRMS Procedure Manual.
- Monitor and audit access and modification to digital records.
- Sentence digital records.
- Electronically transfer permanent digital records to Public Record Office Victoria (PROV) via the Victorian Electronic Records Strategy (VERS) standard [delete if your system is not VERS compliant]
- Preserve captured digital records for the prescribed length of time, according to the relevant disposal authority.
- Apply consistent metadata to all captured records in accordance with the metadata set outlined in the Digitisation Processing Plan (see above).

7.1 STORAGE

All records that have been converted from paper to digital are to be held in the [insert name and version of council EDRMS (e.g. TRIM 6.2.5)] document store located on Councils Storage Area Network (SAN). Access to these records is controlled through [insert name and version of council EDRMS (e.g. TRIM 6.2.5)].

The size of the document store is continually monitored and increased to accommodate growth. The SAN is also monitored in real time by Council's IT department to detect any deterioration or defects of the SAN. [insert council process].

[Insert a diagram on how your database and document store relate to each other, and what types of media they reside on. For example, that your document store is located on SAN1 and your Database is on Corporate Database Server 2].

As mentioned in Section 5.8, the General Retention and Disposal Authority for Converted Source Records (PROS 10/01) requires that the system holding temporary pre-action records be capable of transferring records to PROV. It does not require the system to be VERS compliant, although this would be preferable.

7.2 DISASTER RECOVERY

Disaster recovery of Councils digital records are handled in accordance in the IT Disaster Recovery Plan [\[insert document reference and name of council plan\]](#).

Regular testing for the resilience of EDRMS and Councils digital records include a regular test system restore. This includes the removal of objects in the EDRMS test database and new objects in [\[insert name and version of council EDRMS \(e.g. TRIM 6.2.5\)\]](#). A backup from the previous evening's production database is restored into test, and the restored data is then audited for authenticity before a successful restore is recorded.

In referring to Section 7.4: Backup and Restore, backup includes the creation of a data tape each night. These tapes are held off-site [\[insert location of tapes\]](#) for a period of [\[insert relevant period\]](#).

7.3 EXPORT

Council's EDRMS supports a bulk export feature, which can extract digital records and their associated metadata to a universally accepted file format including CSV and XML. These files can be used to migrate to another digital record keeping system, or for transfer to PROV as VERS Encapsulated Objects. [\[insert details of your EDRMS capability to bulk export digital records\]](#).

Council's EDRMS is compliant with PROS 99/ 007 Management of Electronic Records and VERS . [\[Amend in relation to your own EDRMS – VERS compliance is necessary for the export of permanent digital records to transfer to PROV\]](#)

7.4 BACK-UP AND RESTORE

Converted records are held in the production database of [\[insert name and version of council EDRMS \(e.g. TRIM 6.2.5\)\]](#) which consists of the [\[insert detail re setup for EDRMS, which may include\]](#).

- TRIM Production Database - TRIMcontext which stores tables, schemas, metadata, audit logs and EDRMS setup variables.
- TRIM Document Store – electronic objects to match the records described in the database tables. The actual digital records once converted do not reside in the TRIM Database, rather in the document store. When a document is invoked via TRIM a call is made from the Database to the document store to present the appropriate record.
- TRIM Document Content Index (DCI) – search indices used to search the contents of text searchable records in the TRIM document store.

The TRIM database and document store is backed up in accordance with the IT Disaster Recovery plan. Please refer to the diagram below for information relating specifically to Councils EDRMS backup regime.

[\[Insert diagram of how Council performs its structured backup over the above mentioned components\]](#).

8.0 QUALITY CONTROL AND ASSURANCE PLAN

8.1 IMAGE ACCURACY

This digitisation plan ensures Council is committed to the full and accurate digitisation of source documents before any disposal takes place. Before submitting images for registration into [insert name and version of council EDRMS (e.g. TRIM 6.2.5)] the scanning operator must undertake all actions specified in the Digitisation Processing Plan.

The [insert position title] is responsible for performing the Quality Assurance tasks for digitisation.

Source records will be retained for a minimum of [insert the agreed period of time, minimum 3 months] months to support the Quality Assurance regime.

8.2 RECORD ACCURACY

This plan is committed to ensuring Council captures full and accurate digital records of hard copy documents before destruction. During digitisation, sampling is undertaken to ensure full and accurate capture adhering to the guidelines issued by PROV.

As outlined in Section 5.4 above, random quality control checks of scanned documents on the system should also be undertaken (e.g. visual comparison of scanned image to original of one in every 20 documents).

8.3 STORAGE RELIABILITY

The [insert name and version of council EDRMS (e.g. TRIM 6.2.5)] stores documents on [Insert location details of EDRMS documents on your network, obtained from council IT department. It is recommended this section is complemented with a diagram demonstrating your EDRMS document store infrastructure].

8.4 QUALITY FAILURE PROCESSES

If any image fails to meet Council's quality assurance process then that image will be deleted and the source document digitised again. When converted, the image will be inserted within the appropriate location of the record.

APPENDIX 1. INDICATIVE LIST OF TEMPORARY AND PERMANENT COUNCIL RECORDS

This list gives some examples of pre-action conversion records which are classified as Temporary or Permanent under the PROV Retention and Disposal Authorities 07/01, 09/05, or 09/10.

Short Term Temporary

| Document | Retention |
|--|-----------|
| Additional bin requests | 2 years |
| Change of name or address | 2 years |
| General enquiries | 2 years |
| Request to hold Civic reception - minor | 2 years |
| Freedom Of Information requests and files – not resulting in change to process | 5 years |
| Applications to hold events | 7 years |
| Hardship application for Rates payments | 7 years |
| Noise or food complaints | 7 years |
| Communications re visiting dignitaries | 7 years |

Long Term Temporary

| Document | Retention |
|--|-----------|
| Accident / incident reports – employer or contractor - serious | 50 years |
| Documents relating to staff Workcover rehabilitation | 50 years |
| Documents relating to asbestos disposal / removal | 100 years |
| Documents relating to management of landfill sites | 100 years |

Permanent

| Document | Retention |
|---|-----------|
| Significant contracts | Permanent |
| Building permits – Heritage or significant buildings | Permanent |
| Documentation relating to committees convened by Council | Permanent |
| Election results - final | Permanent |
| FOI requests and files – significant requests that set a precedent or result in a change to process/procedure | Permanent |
| Industrial action - significant | Permanent |
| New title release | Permanent |
| Section 173 agreements | Permanent |
| VCAT practice notes / hearing panels / meetings | Permanent |

APPENDIX 2. CHIEF EXECUTIVE OFFICER ENDORSEMENT

The Digitisation Plan must be endorsed by the Chief Executive Officer, prior to implementation. Suggested wording is shown here (as supplied in PROS10/02/S1), but may be customised for each agency:

Certificate of Compliance

PROV Specification on Digitisation Requirements (PROS 10/02/S1)

R1: Digitisation Plan

I _____ Chief Executive of
(Name)

(Name of agency)

confirm that the organisation has demonstrated to my satisfaction that Requirement R1 of PROV Specification on Digitisation Requirements (PROS 10/02/S1) has been met and can continue to be met when digitising the following records:

(Description of records)

I understand that meeting this specification is a pre-condition for the agency implementing the General Disposal Authority for converted Source Records (PROS 10/01).