

TABLE OF CONTENTS

1. Introduction	2
1.1 Purpose	2
1.2 Scope	2
1.3 Governance	2
1.4 Responsibilities	2
2. Digitisation Activity Plan – AP Documentation	3
2.1 Scope Definition	3
2.2 Appraisal Analysis	3
2.3 User Impact	4
2.4 Format Requirements	4
2.5 Original Paper Document Review	4
2.6 Digitisation Image Specification	5
3. Digitisation Processing Plan	6
3.1 Process Set-up	6
3.2 Scanning Records	6
3.3 Post Processing of Original Paper Records	7
3.4 Capture of Metadata	7
3.5 Generation of Records	8
3.6 Registration of converted Records	8
3.7 Temporary Storage of Scanned Original Documents	8
3.8 Reprocessing of Scanned Documents	8
4. Management Plan For Scanned Original Documents	8
4.1 The Disposal Process	9
4.2 Records Management	9
4.3 Audit Requirements	9
5. Management Plan for Converted Record	9
5.1 Storage	10
5.2 Disaster Recovery	10
5.3 Export	10
5.4 Backup and Restore	10
6. Definitions	11
FORM 1 Chief Executive Officer Endorsement	12

1 INTRODUCTION

1.1 Purpose

The purpose of this digitisation plan is to establish processes that must be followed to (1) scan and convert paper documents to digital format, and then (2) dispose of the original paper documents.

This plan applies to pre-action conversion only, or, those documents received by Council which are scanned before being sent to a Council staff member for action. Adherence to this plan will mean that Council meets one of the regulatory requirements of the Public Record Office Victoria as defined within PROS 10/2: Specification 1.

Once achieved and with reference to the current Records Management Policy **INT1027206**, the newly scanned digital record will be regarded as the official primary use record of Council.

1.2 Scope

The intention of this digitisation plan is to provide process to the scanning of **Incoming Mail received by Corporate Information** as paper and scanned prior to being sent for action by an officer of Council.

1.3 Governance

This digitisation plan is endorsed by the **Information Services Manager, Divisional General Manager** and the **Chief Executive Officer**. Any significant change to this endorsed digitisation plan will be endorsed by all parties.

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

The **Corporate Information Team Leader** is responsible for facilitating this review, on an annual basis at a minimum, or after a shorter period if required.

1.4 Responsibilities

In support of (1) the intent of the current **Records Management Policy INT1027206**, and (2) most recent changes to the organisational position descriptions which identifies individual officers record keeping responsibilities, all staff must comply with the standards and processes established in this digitisation plan.

The **Information Services Manager, Divisional General Manager** and the **Chief Executive Officer** are responsible for endorsing the Plan before implementation, as required to meet Public Record Office Victoria standards.

Adherence to procedural, quality assurance, risk mitigation and disposal requirements is the responsibility of the **Corporate Information Team Leader**.

The **Information Services Manager** is responsible for network and technical infrastructure security and related risk mitigation.

The **Corporate Information Team Leader** is responsible for regular auditing to ensure that processes are being followed and the quality of the digitised records meets minimum standards.

This program is subject to audit by the Internal Auditors.

2 DIGITISATION ACTIVITY PLAN – Incoming Mail

This digitisation activity plan outlines the scanning process in detail so that full, accurate and complete converted records will be generated, captured and managed as required to meet Public Record Office Victoria standards.

This plan applies to pre-action conversion only, or the scanning of paper documents prior to them being sent to an officer for action.

2.1 Scope Definition

Incoming Mail received by the **Corporate Information Team** will be digitised upon receipt.

Only those documents normally considered being of corporate significance or which meet a specific business need, will be digitised. 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 will be digitised and registered as they are recorded as part of a business process.

The digitised document becomes the official record of Council and all actions must be taken on the digitised record, not the paper source record.

The digitisation of incoming mail is an ongoing activity. These processes will largely be carried out by the **Corporate Information Team**. Some key staff in other work areas may also be involved. Digitisation will be completed by staff with the appropriate training and equipment.

For digitisation activities, the **Corporate Information Team** have scanning equipment which enables batch scanning of documents (A3 or smaller) and also large documents such as plans (up to A0 in size). The **Corporate Information Team** is highly trained in digitisation processes and the use of this equipment.

All council staff is expected to forward incoming documents received directly by them to trained staff for processing. [Multiple Function Devices have been set to meet industry standards. \[see item 2.6 and 3.1\]](#)

WARNING - However, if the original paper document is retained as the official record after digitisation, then the scanned record is considered an access copy only. If the original paper document 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 by an officer**. In this case, it will not be possible to dispose of the physical original paper document without substantial additional re-work.

2.2 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 period or category from the relevant disposal authorities listed above.

It may be decided to retain some source records due to their historical value or to minimize the risk of their authenticity being challenged. Records that Council will retain in paper are:

1. Documents to which the Council seal is affixed
2. Significant (non-routine) contracts and agreements containing all signatures
3. Bound Council minutes and agendas
4. Signed legal documents (inc. contracts and agreements)
5. Certificate of Title – Council owned
8. Whistleblowers Incident Reports

7. Bank Guarantees

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

- a) Annual reports from other organisations (for search purpose the index and contents page will be imaged to TRIM)
- b) Advertising brochures
- c) Invitations to Council staff (exception is Senior Management Team and Mayor and councillors)
- d) Conferences and seminar notifications for Council staff

The physical preparation of records for digitising will be in accordance with Cardinia Shire Council's Records Management Policies and Procedures.

2.3 User Impact

In support of the intent of the current Records Management Policy INT1027206, Council officers will be required to undertake all work using the scanned record, not the original paper documents, as the scanned record is considered the official record of Council.

All notes and actions must be applied to the scanned record using the corporate record keeping system known as **TRIM**.

WARNING - The forwarding of original paper documents to a work area should be restricted to only those document types or processes that are absolutely necessary; where the original paper documents 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 the original paper documents are used in a business process, they must be retained and managed in paper, significantly reducing the achievable benefits.

2.4 Format Requirements

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

The **Corporate Information Team** will confirm with each work area if any other format requirements exist, prior to implementing the digitisation process for all pre-action conversion documents.

2.5 Original Paper Document Review

As this digitisation activity plan is specifically for pre-action conversion records, it applies to incoming paper documents. It is not possible to predict exact volumes or characteristics as these documents are received daily, from various sources, in various sizes and formats.

The main characteristics of these documents are as follows:

Characteristics	Details
Type	A3 size or smaller = 70%; A2 – A0 size = 30%
Quantity	2000 Pages per day

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

2.6 Digitisation Image Specification

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. All documents are scanned to PDF.

Source Document Type	Minimum Recommended Standards	Output Format
Black & White Text Based documents (clean, high contrast) *	Resolution: 300dpi Type of image: bi-tonal Bit-depth: 1 bit Compression: Lossless compression	PDF/A TIFF (OD only)
Plans and drawings where colour is not meaningful	Resolution: 200dpi Type of image: bi-tonal Bit-depth: 1 bit Compression: Lossless compression	PDF TIFF (OD only)
Source Document Type	Minimum Recommended Standards	Output Format
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	PDF JPEG

	Colour Management: Embedded ICC colour profile Compression: Lossless compression	
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.	PDF/A

3 Digitisation Processing Plan

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

3.1 Process Set-Up

The incoming mail and scanning process is managed in a consistent manner, as follows:-

1. Paper **Incoming Mail** is received daily by the **Corporate Information Team**. These are sorted to like record types and then scanned by the team. Exceptions are, invoices and financial documentation and Human Resources documentation. These are sent directly to the **Accounts Payable Team and the Organisational Development Team** who digitise under their own Pre-Action Digitisation Plans.
2. The hardware used within **Corporate Information** are **3 Canon DR-6030C desktop scanners** and **2 Fujitsu fi 5750cc desktop flatbed scanners** and **1 HP Designjet T2500 eMultifunction Printer**. The machines are serviced regularly by an appropriate maintenance/service supplier. The machines are cleaned by Corporate Information staff regularly.

The desktop scanners use **Ezescan** software to capture the image and deposit the image to network drive [o:\general\scanning\(\various folders)]. Document queues in TRIM, which have been set up to point to these network folders, are then used to pick up the document from the network drive and capture it into TRIM.

The **Xerox wide image scanner** uses proprietary **Fuji Xerox** software as supplied. The Fuji Xerox scans to a secure network drive. Access to the images is dependent on the PIN access entered into the Scanner prior to scanning and matched by the AccXes software which is used to download the images into the above mentioned O drive network folders. Adobe Professional is then used to merge the plan images with the previously scanned up to A3 page PDF pages image into one PDF. The above mentioned document queues in TRIM are then used to capture the document to TRIM.

In addition to the use of the TRIM document queue, several more common document types have been identified. These include but are not confined to: Notices of Acquisition, Notices of Disposition, additional Building Permit information and Septic Tank Field Service Reports. For these documents, the Ezescan / TRIM integration has been set up so that they are scanned and registered into TRIM using Ezescan. This bypasses the document queue process and is more efficient when a group of documents have several fields that will contain the same data when captured into TRIM. This list is reviewed constantly and updated on an ongoing basis as documents suitable for this process are identified.

Ezescan configuration options are set to the following standard:

- a) Multi-page Detection - High
- b) Document rotation – Detect and Straighten using OCR
- c) Colour detection – Auto
- d) Page Rotation - Default
- e) Output Path – Users Network Document Queues

3.2 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.

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

- a) Crop: removal of black borders from the edges of images, so each image is only the size of the source document.
- b) De-skew: corrects the orientation of images that been scanned on a slight angle.
- c) 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 detects and removes blank pages.
- d) Automatic Brightness: This operation automatically assigns an optimal brightness value for each image for maximum clarity.
- e) Automatic Orientation using OCR: 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.

Daily quality assurance procedures are followed to ensure that all images satisfy usability and risk mitigation 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 rechecked 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 two to 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 .

All the original paper documents, processed during the day, will be day boxed for disposal at the end of 1 month.

3.3 Post-Processing of Original Paper Documents

The original paper documents must be immediately isolated and separated away from the work environment **pending destruction** and not used for normal business purposes. Refer to **Warnings** at items 2.1 and 2.2.

3.4 Capture of Metadata

In this instance, all scanned documents will be electronically stored in Councils EDRMS, **TRIM** by the **Corporate Information team**. The following process must be followed once the **documents** have been scanned.

- a) **Select an image from the document processing queue;**
- b) **Assess image quality against source document;**
- c) **Rotate pages to correct orientation if required;**
- d) **Select the appropriate record type; and most importantly**
- e) **Enter all required metadata in accordance with data entry and document titling conventions.**

Corporate Information Officers are responsible for entering the correct titling details **as identified within the known field based data entry requirements within the TRIM titling business rules process requirements.**

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

- a) Scanning software (Ezescan)
- b) Document queues (i.e. Network Drive)
- c) **TRIM** EDRMS system
- d) SAN (server - document store).

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

The **Corporate Information Officer** is responsible for scanning and registering the documents and entering the metadata. Metadata is captured **as the daily batch scanning process is completed.** Any rework via re-scanning should also be documented.

The quality of metadata applied at document registration is checked by the **Supervisor, Corporate Information** in accordance with the agreed standards. This ensures that scanned records are identified and named consistently. If an officer continues to make errors in the identification and provision of metadata they will be required to undertake additional training to ensure they comply with agreed standards.

3.5 Generation of Records

Computer files containing the documents through the digitisation process are named, as an example, **[lobog_04022014.pdf]** and the scanned **[.pdf]** image resides at, **[O:\General\Scanning\various folders]** for import into Councils EDRMS **TRIM.**

3.6 Registration of Converted Records

Once paper documents have been scanned they will be registered into Councils nominated functional business software, in this instance, Councils EDRMS **TRIM.**

3.7 Temporary Storage of Scanned Original Documents

All the original paper documents which have been scanned are to be temporarily day boxed and stored **pending destruction** by the **Corporate Information Team Leader** who directly represents the Chief Executive Officer in this matter.

3.8 Reprocessing of Scanned Documents

If a document needs to be re-processed /re-scanned, it will be retrieved from the **day boxes** and scanned as per the prescribed processes. The scanning operator should be careful to avoid the error that was in the initial scan (for example, a page missing). This re-scanned document, once quality assured will be stored **pending destruction** by the **Corporate Information Team Leader** who directly represent the Chief Executive Officer in this matter.

4. MANAGEMENT PLAN FOR SCANNED ORIGINAL DOCUMENTS

Source records are those original paper documents that will be converted into digital format during the scanning process. 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 paper documents and the converted records are the scanned images.

This Management Plan outlines how source records will be managed over time after it has been established that the converted record is an accurate copy of the source record.

4.1 Disposal Process

After the original paper document has been scanned, converted, quality assured and risk mitigated, it, the paper document, will be stored **pending destruction** by the **Corporate Information Team Leader** who directly represent the Chief Executive Officer in this matter.

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 agreed 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 be identified during the quality assurance phase of the scanning process by the actioning officer.

4.2 Record Management

A records management system, in this instance, **TRIM**, is available to manage the source records until their disposal.

4.3 Audit Requirements

A formal record of any disposal activity must be managed for the destruction of both the original paper documents and consequently, in time, the scanned records.

When an original paper document has been identified as the official record after digitisation, the tick box field "Hard Copy Exists?" will be ticked by the Corporate Information Team. When records are not disposed, a note stating "The original paper document source records **have not** been destroyed, today (date), by (name of officer) **by inclusion in security shredding bin** because.... – state the reason why", will be added to the document's "Display and/or Modify Notes" field in TRIM. It may be necessary to generate exceptions. For example, if a source record has been recalled, it is possible that it may need to be kept for a longer period. Further advice is available from TRIM Help.

5.0 MANAGEMENT PLAN FOR CONVERTED RECORD

TRIM 7.1 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 TRIM. TRIM 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 TRIM. Refer to Councils procedure for converting and capturing paper records into TRIM for step by step instructions.

TRIM is used to –

- a. Index the content of the digital records to enable thorough searching.
- b. Apply the appropriate classification to each record as it's captured into the EDRMS (refer to Councils standard on classification for inwards correspondence & documentation).
- c. 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.

- d. Monitor and audit access and modification to digital records.
- e. Sentence digital records.
- f. Electronically transfer permanent digital records to Public Record Office Victoria (PROV) via the Victorian Electronic Records Strategy (VERS) standard.
- g. Preserve captured digital records for the prescribed length of time, according to the relevant disposal authority.
- h. Apply consistent metadata to all captured records in accordance with the metadata set outlined in the Digitisation Processing Plan (see above).

5.1 Storage

All records that have been converted from paper to digital are to be held in TRIM document store located on Councils Storage Area Network (SAN). Access to these records is controlled through TRIM. The size of the document store is continually monitored and increased to accommodate growth.

The SAN is monitored in real time by Council's IT department to detect any deterioration or defects of the SAN. 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.

5.2 Disaster Recovery

Disaster recovery of Councils digital records are handled in accordance in the IT Disaster Recovery Plan **INT13415 – Disaster Recovery Capability Policy and Standards**.

Regular testing for the resilience of the 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 **TRIM**. 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.

5.3 Export

TRIM 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.

Council's EDRMS is compliant with PROS 99/ 007 Management of Electronic Records and VERS .

5.4 Back-up and Restore

Converted records are held in the production database of **TRIM** which consists of the:

- a. **TRIM Production Database - TRIMcontext** which stores tables, schemas, metadata, audit logs and EDRMS setup variables.
- b. **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.

- c. **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.

6.0 DEFINITIONS

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

EDRMSm – Electronic Document and Records Management System (TRIM)

Metadata – Data that serves to provide context and information about the document. For example, information about the document purpose, its subject, author, date received, time actioned and responsible action officer. Metadata aids in distribution, action control, search and discovery, security control and disposal of the attached record described

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 paper.

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). The 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 paper.

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.

FORM 1. CHIEF EXECUTIVE OFFICER ENDORSEMENT

The Digitisation Plan must be officially endorsed prior to implementation.
Certificate of Compliance

PROV Specification on Digitisation Requirements (PROS 11/07/S1)

R1: Digitisation Plan

I, **David Jackson, Information Services Manager**, Cardinia Shire Council, confirm that, I have been appraised of the operational requirements of this digitisation plan and that I support the associated work process's inclusive of the plans quality assurance, risk mitigation and document disposal requirements relevant to **Incoming Mail**.

.....(Signature)..... (Date)

I, **Derek Madden, General Manager, Corporate Services**, Cardinia Shire Council, confirm that, I have been appraised of the operational requirements of this digitisation plan and that I support the associated work process's inclusive of the plans quality assurance, risk mitigation and document disposal requirements relevant to **Incoming Mail**.

.....Signature) (Date)

Certificate of Compliance

PROV Specification on Digitisation Requirements (PROS 11/07/S1)

R1: Digitisation Plan

I,, Chief Executive of Cardinia Shire Council, confirm that the organisation has demonstrated to my satisfaction that Requirement R1 of PROV Specification on Digitisation Requirements (PROS 11/07/S1) has been met and can continue to be met when digitising the following records:
Incoming Mail.

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).

..... (Signature) (Date)

..... (Signature)