



Title:

Imaged Records Procedure

Version	1.0
TRIM file number	08/284
Short description	A procedure on scanning and digitising paper records
Relevant to	All employees who use TRIM
Authority	This Procedure has been approved by [name of delegated approver] under the <i>Governance (Policy and Procedures) Rule 2005</i> of the Council and sections 20 and 32 of the <i>CSU Act</i> .
Responsible officer	Manager, University Records
Responsible office	Division of Information Technology
Date introduced	23 December 2008
Date(s) modified	
Next scheduled review date	December 2010
Related University documents	Digital Records Policy Records Management Policy Vital Records Policy TRIM Access and Security Policy
Related legislation	State Records Act 1998 (NSW)
Key words	State Records Regulations 2005 (NSW) procedure records management digital electronic documents

1. PURPOSE

The purpose of these procedures is to assist TRIM users in implementing the Digital Records Policy. These procedures will assist to establish sound records management practices and a consistent approach with regard to the destruction of original paper records which have been successfully digitised through scanning and captured in Charles Sturt University's corporate record keeping program TRIM.

2. SCOPE

These procedures apply to all members of the University community who digitise paper records for capture into TRIM. It applies to State records that have been copied into a digital format.

The following records are **not to be disposed** of after digitisation:

- Records that are subject to current or pending legal proceedings or an application for access under the *Freedom of Information Act 1989*, the *Health Records and Information Privacy Act 2002* or the *Privacy and Personal Information Protection Act 1998*
- Records that are subject to a Government policy or directive not to be destroyed
- Original artworks
- Original proclamations, charters, testimonials and intergovernmental agreements or treaties
- Records that are required as State archives that were created or received prior to January 1st 2000

3. REFERENCES

- State Records NSW General Disposal Authority 24 – Imaged Records
- State Records NSW General Disposal Authority 33 – Source records that have been migrated
- State Records Standard on digital recordkeeping
- Records Management Policy
- Vital Records Policy
- TRIM Security and Access Policy

4. DEFINITIONS

4.1. Records

A record is information created, received and maintained by Charles Sturt University and its employees in the transaction of official business or conduct of affairs, and kept as evidence of such activity.

4.2. Digital records

A digital record is digital information, captured at a specific point in time that is kept as evidence of business activity. Digital records means 'born' digital records such as emails, web pages, digital photographs, digital audio files, GIS files or database records, as well as scanned versions of paper records that have been digitised in business process.

4.3. Metadata

Data describing data and data systems. In records management, recordkeeping metadata is data that describes the context, content and

structure of records and their management through time. (AS ISO 15489 Part 1 Clause 3.12)

4.4. State records

Records created by public offices in NSW (including universities) are State records under the *State Records Act 1998 (NSW)*, and subject to the provisions of both the *State Records Act 1998* and the *State Records Amendment Act 2005 (NSW)*.

4.5. State archives

State Archives are State Records under the control of State Records (NSW) that State Records has control of under the *State Records Act 1998 (NSW)*.

4.6. TRIM

TRIM is the records management software used to capture corporate records of Charles Sturt University.

5. CAPTURE REQUIREMENTS

TRIM should be used for the capture of imaged corporate records as it will capture the recordkeeping metadata that will facilitate record integrity, preservation and retrieval.

Scanning of images/records must be done using DIT approved software and hardware as specified in the DIT Service Catalogue in order to capture technical metadata such as image resolutions, bit depths, compression and file formats. Without this associated metadata for imaged records, DIT will not be able to prove that the image is a true and exact copy of an original (after disposal of the physical record). Therefore, the disposal of the original is not permitted.

6. RESPONSIBILITIES

6.1. University Records Manager

- Development, monitoring and review of the University-wide records management policy, procedures, standards and guidelines for the creation, management, storage and disposal of University records.
- Dissemination of information in relation to these activities, in consultation with the University Secretary, the Executive Director of Information Technology, the Manager, CSU Regional Archives and Art Collection, and the heads of University organisational units.
- Provision of advice to University employees regarding the creation and maintenance of University records and the systems in which they are maintained.
- Provision of records management training to University employees.

6.2. TRIM Administrators

- These are nominated staff within units/division who have more extensive recordkeeping responsibilities for their operational area.
- Conduct regular documental validation checks on digitised records.
- Manage and maintain the day to day records management processes and operations within their area.
- Support staff within their area on records management matters such as the registration and creation of files, the conduct of the disposal process for files, etc.

6.3. All University Employees

All employees of Charles Sturt University are responsible for ensuring that they create and maintain full and accurate records of official University business that they transact.

7. SENSITIVITY

7.1. Security Controls

All staff are responsible for applying the appropriate security controls to scanned images to protect the sensitivity of corporate information. Access to records/images within TRIM is directed by the security level afforded to particular files and through the use of Groups and Access rights.

Staff are reminded that all original (physical) documents inherit the same security level as the imaged/scanned record. Access to Confidential records shall be limited to staff with the appropriate access rights and shall be secured when unattended. In areas where many people have access to filing cabinets, and/or compactuses, controls shall exist or be established to limit access to authorised users.

7.2. "Read Only" Controls

Staff are required to use only approved image formats.

Approved image formats include Portable Document Format (PDF) and Tagged Image File Format (TIFF) for scanned/imaged records as these provide 'read only' controls ensuring data integrity and accessibility.

8. QUALITY

8.1. Technical Considerations

CSU Staff must observe the following recommended technical guidelines when scanning records/images into TRIM.

<u>Recommended Resolutions (minimum)</u>		
Document type	Page Size	Resolution
Standard text documents	Up to A3	No less than 200 PPI
Oversized documents, e.g. maps	Larger than A3	No less than 200 PPI
Photographs	6" x 4" 7" x 5" 9" x 6"	600 PPI 430 PPI 300 PPI
Digitising at a higher resolution than recommended may be necessary if there is a requirement to enlarge the image for use or to capture highly detailed paper originals		
<u>Recommended bit Depths</u>		
Document Type	Bit Depth	
Black and White text only	1-bit bi-tonal	
Text with some colour	8-bit colour	
Text with shades of grey	4-bit or 8-bit grey	
Colour drawings/presentations/graphics	8-bit colour	
Black and White photographs	8-bit grey	

Colour photographs	24-bit colour
If imaging a document containing a mix of the above, such as a black and white page which includes a colour photograph, then the highest colour depth should be used to capture it, e.g. 24-bit colour	
Recommended Compression	
<p>Lossless compression <u>must be used where possible</u> as it provides file size reduction while being able to reproduce an exact, true and accurate digital copy of the image document/record.</p> <p>Lossy compression will not be permitted for records authorised for early disposal as some loss of data may occur resulting in the accuracy of the image being called to question. Lossy compression may only be used on some file types when the original document/record is being retained.</p>	

8.2. Standard Format

The standard format for CSU imaged records is PDF. PDF is a digital format that has become the standard for the exchange and storage of data. PDF files may be created natively in PDF form, converted from other electronic formats, or digitised from paper, microfilm or other hard copy formats. TIFF is a digital format that is widely supported. TIFF files are commonly used in desktop publishing, facing, 3-D applications and medical imaging applications.

8.3. Image Enhancement

Any image enhancement undertaken to imaged files must be noted and registered in the notes section of the document type. This includes enhancements such as:

- Despecking
- Deskewing
- Crop Border
- Invert Images
- Smoothing/Sharpening
- Colour correction

8.4. Disposal Authority

Prior to destruction of Imaged Records, staff must ensure that records considered for destruction under **GDA24 – General Disposal Authority – Imaged Records**, are covered by a current, approved General Disposal Authority.

8.5. Conditions for the Disposal of Imaged Records

To comply with legal requirements when destroying imaged records, staff must ensure that the conditions for destruction are first met (refer to **Scope** page 2). Original records authorised for disposal under GDA24 must be scanned and captured in TRIM. The original paper record must be placed in a TRIM registered Archival Box for Quality control/Disaster Recovery purposes for a period of six (6) months after digitisation.

Prior to the disposal of imaged records, staff must ensure that no special requirements exist to retain the record in its original format (refer to **Scope** page 2).

Disposal of any records under GDA24 should be in accordance with current CSU Disposal procedures. These include:

- Completing a Request for Authority to Destroy and forwarding to the University Records Manager for approval;
- Notifying the University Records Manager how and when the records were destroyed.

8.6. Quality Control/Imaging Process

When documents are being scanned/imaged, a register of events must be kept. The following information must be captured during the scanning registration process:

- Identity of the person who performed the scanning (captured automatically in TRIM)
- Extract of post-scanning processes (e.g., deskewing, despecking, etc.) performed (captured by operator in the notes section)
- Date and time of scanning (captured automatically)

9. ACCESSIBILITY

All imaged copies of records must be captured in TRIM. The Division of Information Technology will ensure that long term accessibility of images is documented according to organisational policy and procedures.

Table of Amendments

Version number	Date	Short description of amendment
1.0	19/11/2008	Procedures Created