Records Management Procedure - Imaged Records

Section 1 - Purpose

(1) The purpose of this Procedure is to assist users in implementing the Records Management Policy - Digital Records . This Procedure 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 into an approved records management system.

Scope

(2) This Procedure applies to all members of Charles Sturt University (the University) community who digitise paper records for capture into an electronic records/document management system.

Section 2 - Glossary

(3) For the purpose of this Procedure:

a. Records - means 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.

b. Digital Records - means 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.

c. Metadata - is 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)

d. State Records - means 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).

e. State Archives - means a State record that State Records NSW has control of under the State Records Act 1998

f. TRIM - is an approved Electronic Document Records Management System (EDRMS) used to capture and manage corporate records of Charles Sturt University.

Section 3 - Policy

(4) Refer to the Records Management Policy - Digital Records .

Section 4 - Procedures

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Part A - Capture Requirements

(5) Scanning of images/records must be done using Division of Information Technology (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 original is required to be kept for a minimum of three months before being disposed of.

Part B - Responsibilities

University Records Manager

(6) 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.

(7) Dissemination of information in relation to these activities, in consultation with the University Secretary, the Executive Director, Division of Information Technology, the Manager, CSU Regional Archives and University Art Collection and the heads of University organisational units.

(8) Provision of advice to University employees regarding the creation and maintenance of University records and the systems in which they are maintained.

(9) Provision of records management training to University employees.

Records Delegate

(10) These are nominated staff within units/Divisions who have more extensive recordkeeping responsibilities for their operational area.

(11) Conduct regular documental validation checks on digitised records.

(12) Manage and maintain the day to day records management processes and operations within their area.

(13) 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.

All University Employees

(14) 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.

Part C - Sensitivity

Security Controls

(15) 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.

(16) 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.

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"Read Only" Controls

(17) Staff are required to use only approved image formats.

(18) 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.

Part D - Quality

Technical Considerations

(19) University Staff must observe the following recommended technical guidelines when scanning records/images into an electronic recordkeeping system.

Recommended Resolutions (minimum)		
Document type	Page Size	Resolution
Standard text documents	Up to A3	No less than 200 DPI
Oversized documents, e.g. maps	Larger than A3	No less than 200 DPI
Photographs	6" x 4" 7" x 5" 9" x 6"	600 DPI 430 DPI 300 DPI
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.		
Recommended bit Depths		
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		
Lossless compression must be used where possible as it provides file size reduction while being able to reproduce an exact, true and accurate digital copy of the image/document/record.		
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 image/document/record is being retained.		

Standard Format

(20) The standard format for University 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, 3-D applications and medical imaging applications.

Image Enhancement

(21) 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:

    a. despecking;
    b. deskewing;
    c. crop border;
    d. invert images;
    e. smoothing/sharpening;
    f. colour correction.

Disposal Authority

(22) Prior to destruction of imaged records, staff must ensure that records considered for destruction under GDA36 - General Disposal Authority - Imaged Records, are covered by a current, approved General Disposal Authority.

Conditions for the Disposal of Imaged Records

(23) To comply with legal requirements when destroying imaged records, staff must ensure that the conditions for destruction are first met (refer to Scope). Original records authorised for disposal under GDA36 must be scanned and captured into an approved electronic document records management system i.e. TRIM. The original paper record must be placed in a Type 1 archival box for quality control/disaster recovery purposes for a period of three months after digitisation.

(24) 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).

(25) Disposal of any records under GDA36 should be in accordance with University Disposal Procedures. These include:

    a. completing a Request for Authority to Destroy and forwarding to the University Records Manager for approval; and
    b. notifying the University Records Manager how and when the records were destroyed.

Quality Control/Imaging Process

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

    a. identity of the person who performed the scanning;
    b. extract of post-scanning processes (e.g. deskewing, despecking, etc.) performed (captured by operator in the notes section); and
    c. date and time of scanning (captured automatically).

Accessibility

(27) All imaged copies of records must be captured into a DIT approved electronic records management system. The Division of Information Technology will ensure that long term accessibility of images is documented according to organisational policy and procedures.

Section 5 - Guidelines

(28) Nil.

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