



State Archives  
& Records

# Determining requirements for digitisation programs & disposal of source records

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# Digitisation Programs



## Business process digitisation

Integrates hardcopy records into business systems and processes so that future actions can occur digitally



## Back capture digitisation

Preserves and enhances accessibility of retrospective records sets



## Scanning of incoming records

Captures mail or paper generated through non-digital business processes into recordkeeping systems

# The Digitisation Process



1

Determine outcomes, records scope and program requirements

2

Establish plans, procedures, business rules or contracts

**Initiation**

3

Prepare records

4

Digitise records

5

Quality assurance

6

Manage digitised records

7

Manage original records



**Throughout**

Monitor & review program for effectiveness

**Digitisation**

**Post Digitisation**

# Before Digitisation

Develop plans, procedures or business rules based on requirements and objectives


- Define outcomes
- Scope records selection
- Consider requirements for the retention and disposal of source records post digitisation
- Determine digitisation requirements including technical specifications & metadata
- Document processes to support your objectives





# Defining Outcomes

Helps inform your business case, plans and operational decisions



**Increase access, information sharing and re-use**

**Improve service delivery**

**Preserve information assets**

**Save space and/or reduced physical storage costs**



GA45

**General retention and disposal authority: Original or source records that have been copied (GA45)** provides for the authorised destruction of original that have been copied or digitised, provided that certain conditions are met.

Meeting the conditions enables source records to be destroyed with the confidence that your agency has a reliable and fit for purpose digital surrogate to meet future information needs.

Its best to consider the conditions upfront to avoid unnecessary efforts later.

# GA45 Conditions for destruction

1. The original or source records do not come within one of the categories of **excluded records**

e.g. pre 1980 & required as State archives

2. The records are covered by an approved retention and disposal authorities

3. Authentic, complete and accessible copies of the records are made

4. The copies become the official record of the business of the agency and are kept in accordance with authorised retention requirements

5. The original records are kept for quality control purposes for an appropriate length of time

# Scoping Records Selection

TIP: Retention and disposal authorities outline retention periods which can help inform your public office's selection of records and return of investment.

## Prioritise

Records with long-term accountability requirements for on-going access & preservation



High risk & high value records

Records frequently accessed

## HIGH USE

Records that support the programs core outcomes

## Deprioritise

## LOW USE

Records seldom accessed



Records with short retention periods

## Avoid



Time expired records

## NAP

Ephemeral, facilitative or duplicated records

# GA45 and scoping

If you intend to destroy records ensure:

1. The original or source records do not come within one of the categories of **excluded records**
2. The records are covered by an approved retention and disposal authorities



# GA45 Condition 1

## EXCLUDED RECORDS

1. Original or source records that were created prior to January 1, 1980 and are required as State archives or required to be retained in agency.

2. Original film (including photographic negatives) or analogue audio-visual material that are required as State archives

3. State archives that have been retrieved or are on loan from State Archives and Records or its regional repositories.

4. records subject to a legislative or Government policy requirement that the original record not be destroyed'

5. records considered to have intrinsic value in their original format e.g. have cultural, iconic, heritage or aesthetic value as a physical artefact

6. records documenting special circumstances personal information of high personal value to the subject of the record

7. source records that have been used as the input or source records for migration (see GA48).

The background of the slide features a close-up, slightly blurred image of several thick books stacked on top of each other. The pages are white and the spines are visible. The books are positioned on the right side of the frame, with the left side being a solid light gray.

## GA45 Condition 2

the records are covered by an approved  
**retention and disposal authority**

GA45 + relevant general or functional authority

# Is digitisation the right outcome?

- Are the records required for active business use?
- Could data-entry be more cost effective and achieve similar outcomes?
- Is 'on demand' digitisation preferable to a full scale project?
- If records are required as State archives and not actively used consider transferring to NSW State Archives and Records





## GA45 Condition 3

Authentic, complete & accessible copies of the records are made

**Authentic** copies are the product of established, authorised and monitored processes.

**Complete** copies are accurate, legible reproductions of the original or source record in its entirety.

**Accessible** copies are managed, available and readable.

A collection of Polaroid photographs scattered on a light-colored surface. The photos show various scenes: a landscape, a group of people, and a close-up of a plant. The photos are slightly out of focus, creating a sense of depth.

## GA45 Condition 3

Requirements that relate to creating Authentic, complete & accessible copies:

- Physical preparation
- Technical specifications and equipment used
- Metadata
- Quality control

# Requirements for physical preparation

Consider condition of original records,  
format & digitisation equipment

Preparation can involve removal of bindings,  
staples etc., unfolding, cleaning, to more in-depth  
stabilisation or professional conservation  
treatment.



# Technical specifications

Aim to ensure that resulting digitised records are 'fit for purpose'.

NSW State Archives and Records' Digitisation specifications for paper records in Public offices aims to ensure that digitisation efforts result in the creation of authentic, reliable, and usable digitised copies of paper records.

Adopting will enable your public office to meet the copying provisions set-out in General retention and disposal authority: Original or source records that have been copied (GA45)

# Technical Specifications



## Bit depth

Controls the number of colours or shades of grey (tonal range) present in the digital image



## Colour space

Defines the range of colours within an image and helps software to render colour.



## Resolution

Measure of detail captured (samples taken) from the original record converted to pixels over a given space



## File format

Type of file used to save master copy. Formats selected should be sustainable & current.



## Compression

Used to reduce file size.  
Lossy compression discards less important information,  
Lossless compression retains information by simplifying code

# Equipment Requirements



Equipment for digitisation needs to consider:

- the condition, size and format of original's records
- technical specifications for image quality

The records' physical properties will determine if a document feeders can be used or if a flatbed scanner or format specific equipment is needed e.g. map scanner, overhead book scanner, camera etc.

Other considerations include:

- Ability for OCR/text recognition
- Ability to automate metadata capture
- Page handling and throughput
- Single or double sided (duplex) capture
- Control over settings
- Ability to crop/deskew
- Image enhancement
- Ease of use

# Metadata Requirements

Consider requirements for:

- File naming conventions & unique identifiers
- Descriptive metadata
- Technical metadata
- Automated data-capture
- OCR



# Quality Requirements

## Consider:

- Which processes will be subject to QA
- Pass/fail criteria and what needs to be assessed?
- Which elements can be checked via technical metadata and which need manual inspection?
- Will all records be checked or only a sample / percentage?
- How will quality assurance fails or rework be managed?

Set and document benchmarks to outline the level of quality that the program is expected to attain

Establish workflows for checking digitisation processes and digitised images against benchmarks to ensure benchmarks are being suitably applied and met in practice

Outline the nature, degree and regularity of quality assurance measures in procedures or business rules

If outsourcing, Benchmarks should be communicated to service providers.



## GA45 Condition 4

The **copies** become the **official record** of the business of the agency and are **kept** in accordance with authorised retention requirements.



# Managing digitised records

## Managing digitised images can involve:

- Inclusion of files on information asset register
- Ingestion into a recordkeeping system or EDRMS
- Provisions of security & access
- Governance for version control, derivatives, redaction versions etc.
- Ongoing digital preservation & monitoring





## GA45 Condition 5

The original or source records are kept for **quality control** purposes for an **appropriate length of time** after copying.

# Managing Original records after digitisation



If the original records will be retained, consider:

- Re-collation requirements
- Opportunity for rehousing
- Transfer of records required as State archives



If the original records will be destroyed, consider:

- At what point is quality assurance complete?
- How will destruction be documented?
- What will be your internal process for confirming authorising destruction in accordance with GA45?

# Documenting requirements

Documentation helps establish governance over your digitisation program(s)

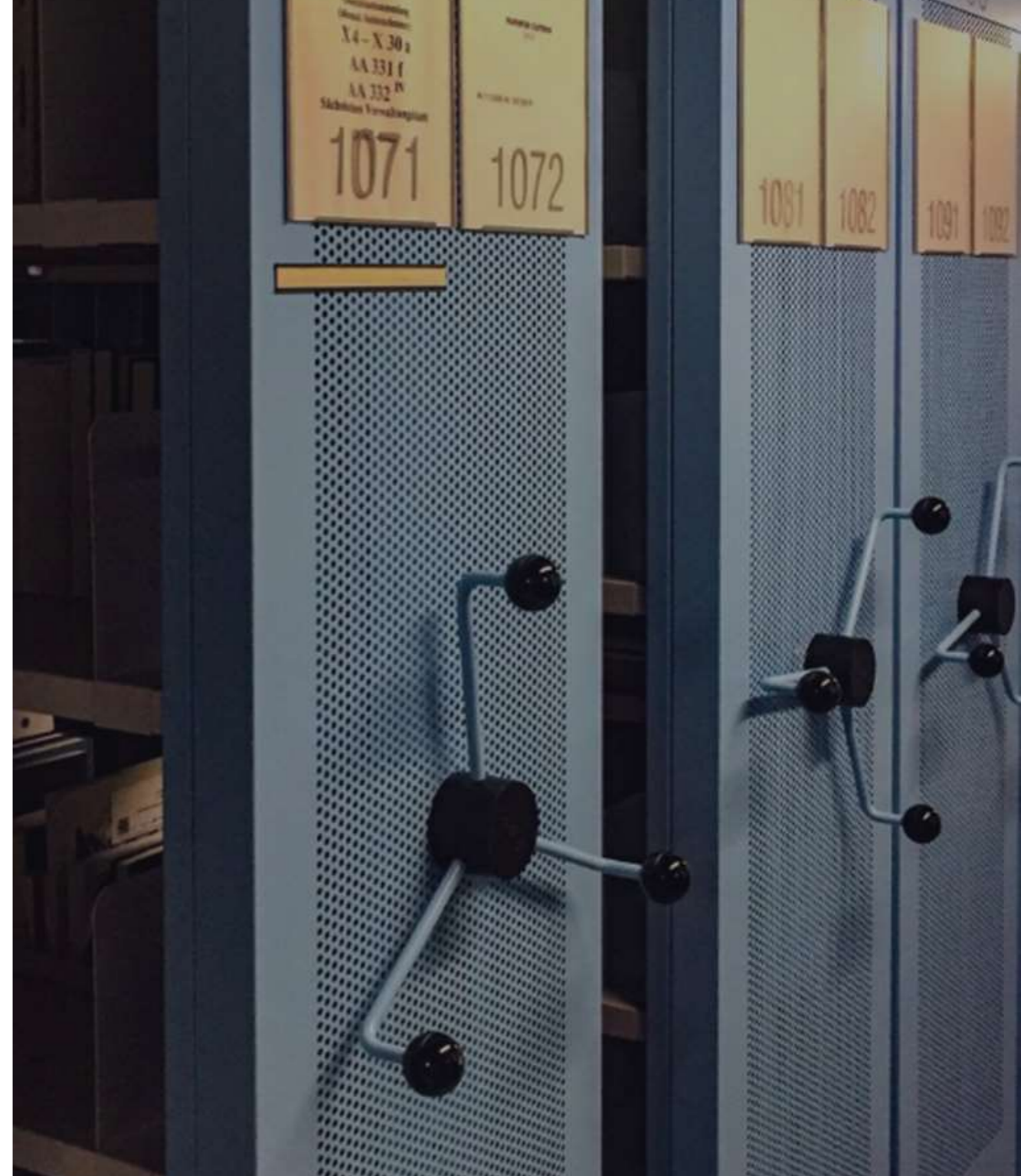


Requirements should be outlined in business rules, policies & procedures, project plans and contractual agreement as appropriate. These documents should be monitored and updated over time.

# Re-cap

## Determine requirements before commencing digitisation programs

- Define outcomes
- Scope records selection
- Determine approach to:
  - Physical preparation
  - Metadata
  - Technical specifications
  - Equipment
  - Quality assurance
  - Managing original records
  - Managing digitised records
- Document requirements in policies, procedures, business rules and/or contracts.





# Thank you

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