

Swinburne University of Technology

Digitisation Standard and Records Management Compliance

Records Management Services

15 February 2012



Purpose

The specifications give the minimum requirement for ensuring that records retain their evidentiary status after digitisation.

Goal is to allow government agency to digitise and dispose of source records:

- Permanent and temporary records
- Existing records or records received day to day

Before the Records Management Services can dispose of originals, they must ensure that the digitisation procedure produces full and accurate copies.

Reference:

Public Record Office (PROV) PROS 10/01: *General Retention & Disposal Authority for Converted Source Records*; <http://prov.vic.gov.au/wp-content/uploads/2011/05/PROS10-01ConvertedRecords-WebVersion20110107.pdf>

Public Records Office (PROV) PROS 11/01 *Capture Standard S2 Digitisation: Image Requirements*; <http://prov.vic.gov.au/wp-content/uploads/2011/09/1107.pdf>

The new standard references an external standard: *New Zealand Digitisation Standard*; <http://continuum.archives.govt.nz/files/file/standards/s6.pdf>

All specification listed below are based on New Zealand Digitisation Standard.

Compliance

It is proposed that government agency do self certification, CEO, or equivalent, to sign a certificate which is then submitted to PROV.

Preliminary Considerations	Best Practice Guidance	Compliant Ready		
		No	Partly	Yes
	The business case SHOULD clearly outline the benefits and anticipated business			<input checked="" type="checkbox"/>
	The business case SHOULD involve appropriate project budgets, resources commitments and be realistically costed			<input checked="" type="checkbox"/>
	Derivative versions, where required, SHOULD be made during the digitisation process			<input checked="" type="checkbox"/>
	Master copies SHOULD be made available for the creation of subsequent derivative images, where necessary			<input checked="" type="checkbox"/>

Planning and Processes	Best Practice Guidance	Compliant Ready		
		No	Partly	Yes
	Equipment and resources to support the digitisation			<input checked="" type="checkbox"/>
	Process for planning, control and execution of the digitisation, including those undertaken prior to, during and after digitisation			<input checked="" type="checkbox"/>
	Quality assurance process			<input checked="" type="checkbox"/>
	Strategies for integrating the digitised image into work processes to support the business action taking place; and			<input checked="" type="checkbox"/>
	Strategies for the ongoing management of the digitised records for as long as long as they are required to be maintained			<input checked="" type="checkbox"/>
	The digitisation approach SHOULD be regularly reviewed for continuing relevance and cost effectiveness.			<input checked="" type="checkbox"/>
	The highest technical specifications that can be realistically supported SHOULD be incorporated into the digitisation process.			<input checked="" type="checkbox"/>
	Adequate technical support SHOULD exist to enable ongoing maintenance and assurance of migration capability when necessary.		<input checked="" type="checkbox"/>	
	Master copies SHOULD be created to the highest technical standards achievable			<input checked="" type="checkbox"/>
	Printing of the image SHOULD be possible with or without the annotations			<input checked="" type="checkbox"/>
	Readers available to users SHOULD support the display of the digital image in a manner, and to a quality, acceptable for the business being conducted.			<input checked="" type="checkbox"/>

Management System	Best Practice Guidance	Compliant Ready		
		No	Partly	Yes
	Where the digital image is to be used as a record in current or continuing business, the system governing the business process which will use the image SHOULD be integrated with records control system			<input checked="" type="checkbox"/>
Source record preparation guidelines SHOULD include:				
	Quality checks to ensure against data loss in digitisation			<input checked="" type="checkbox"/>
	Methods of distinguishing between original source records and photocopies			<input checked="" type="checkbox"/>
	Physical preparation for digitisation			<input checked="" type="checkbox"/>
	Verification that digital output matches the quantity of original record input;			<input checked="" type="checkbox"/>
	Criteria for checking image quality			<input checked="" type="checkbox"/>
	Frequency and criteria for checks on metadata			<input checked="" type="checkbox"/>
	A review of quality procedures for digitising SHOULD be undertaken regularly to ensure that the procedures continue to meet business requirements.			<input checked="" type="checkbox"/>
	Appropriate training SHOULD be provided to all staff who create, manage or work with digitised records.			<input checked="" type="checkbox"/>
	Retrieval times implicit in offline storage SHOULD be acceptable for the business being conducted.			<input checked="" type="checkbox"/>
	Back-up copies SHOULD be maintained to a level of security that will ensure the authenticity of the records used in recovery situations.			<input checked="" type="checkbox"/>

Disposal Processes	Best Practice Guidance	Compliant Ready		
		No	Partly	Yes
	Authorisation for destruction and the instance of destruction of the original source record SHOULD be documented in the metadata associated with the digitised record			<input checked="" type="checkbox"/>
	Disposal actions SHOULD be documented and authorised by the relevant authority in an organisation.			<input checked="" type="checkbox"/>

Long-term Management	Best Practice Guidance	Compliant Ready		
		No	Partly	Yes
	The digital image and the source record SHOULD be linked	<input checked="" type="checkbox"/>		
	Where digitised records are incorporated into business systems and the source records are retained for reasons other than quality control checks, the source records SHOULD be organised to maximise retrieval and to enable efficient management of retention and disposal processes.	<input checked="" type="checkbox"/>		
	In digitisation projects, source records SHOULD be returned to their original context and order after the digitisation process.	<input checked="" type="checkbox"/>		
	Digitised records SHOULD be included in the framework adopted by the organization to support the continuing existence of records for as long as they are required.			<input checked="" type="checkbox"/>

Document Type	Resolution	Bit Depth	File Format	Compliance Yes /No
Text or graphics, black and white	Minimum 200dpi	1 bit (bi-tonal)	TIFF PDF/A ¹ containing TIFF or JPEG	Yes
Text or graphics, colour or documents with low contrast (faded text)	Minimum 200dpi	24 bits (colour)	TIFF PDF/A ¹ containing TIFF or JPEG	Yes
Document with water marks, grey shading, and graphics	Minimum 600dpi	8 bit greyscale	TIFF PDF/A containing TIFF or JPEG	Yes
Document with discrete colour used in text or diagrams	Minimum 60dpi	Minimum: 8 bit colour	TIFF PDF/A containing TIFF or JPEG	Yes
Black and white photographs	Sufficient to provide 600 pixels across long dimensions	8 bit greyscale	TIFF PDF/A containing TIFF or JPEG	Yes
Colour photographs	Sufficient to provide 600 pixels across long dimensions	24 bit colour	TIFF PDF/A containing TIFF or JPEG	Yes

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