Digitisation Plan for University Records
(Ongoing Digitisation Activity)

THE UNIVERSITY OF MELBOURNE

The University has records management responsibilities under the *Public Records Act 1973*, including the responsibility to ensure that records are disposed of as consistent with the Act.

This Digitisation Plan sets out the requirements for digitising hard copy records. The plan identifies records to be scanned on an ongoing basis where the intention is to destroy the hard copy source record and for the University to use the converted record for business.

This plan has been developed between the relevant business unit and Records & Compliance. The destruction of digitised University records without an authorised Digitisation Plan is unlawful.

For further information or support, contact Records Services at records-services@unimelb.edu.au

Summary

Contact Name: (Primary business unit liaison)	Lucinda Davies
Contact's Position: (Primary business unit liaison's position)	Records Manager
Records covered by plan: (Brief description of records)	Safe Custody Documents received in Records & Compliance (includes Legal Agreements)
Faculty/Business Unit:	Legal & Risk, Records & Compliance
Location: (Campus, Building, Floor, Room)	4th Floor, Alan Gilbert Building
Records & Compliance Contact:	Lesley Williams

Business Unit Authorisation:

Name:	Kathryn Dan	Signature:	*Dan*
Position:	Associate Director, Records & Compliance	Date:	8 August 2016.

Certificate of Compliance by University Secretary's Department:

I confirm that the organisation has demonstrated to my satisfaction that Requirement R1 of the Public Record Office Victoria Specification on Digitisation Requirements (PROS 11/07/S1) has been met and can continue to be met when digitising the above records. 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):
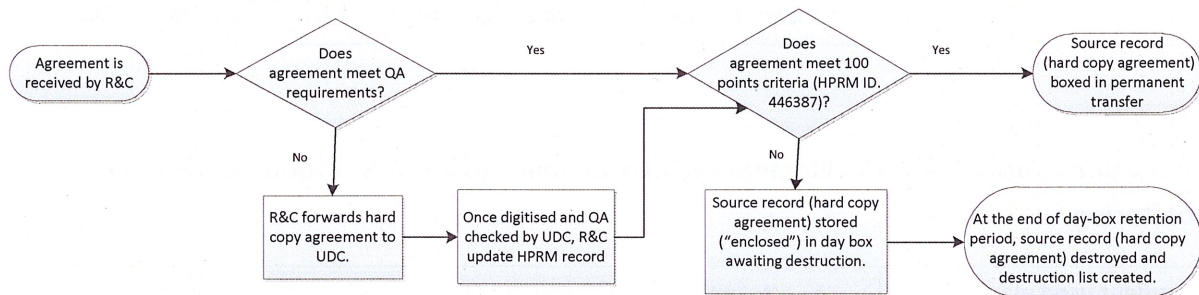
Name:	Dr Gioconda Di Lorenzo	Signature:	*Gioconda Di Lorenzo*
Position:	University Secretary	Date:	11/8/2016

Description of records covered by this digitisation plan:

Record type:	Hard copy safe custody documents received by Records & Compliance for retention.
Retention period and UOM **RDA class**	**0150/0700/2 COLLECTION MANAGEMENT - Agreements** **0300/0700/2 GOVERNANCE - Agreements** **0400/7950/2 INFORMATION MANAGEMENT - Systems Management** **0450/0700/2 LEGAL SERVICES - Agreements** **0550/0700/2 PROPERTY, ASSETS & EQUIPMENT - Agreements** **0600/0700/2 RESEARCH – Agreements** Final signed version of agreements and Memorandums of Understanding not under seal or of small scale significance to the University. Includes records documenting the development, formulation and execution of these agreements and MOUs. Retention period – 7 years **0200/0700/2 EXTERNAL RELATIONS - Agreements** Final signed version of agreements and Memorandums of Understanding not under seal or of small scale significance to the University. Includes MOUs with external organisations such as other tertiary institutions, hospitals. Includes records documenting the development, formulation and execution of these agreements and MOUs. Retention period – 7 years **0150/0700/4 COLLECTION MANAGEMENT - Agreements** Records of contracts for smaller scale activities which are not under seal. Includes records associated with the negotiation process (excluding tender records). Includes loan agreements for lending of items to the University or from the University's collections. Retention period – 7 years **0200/0700/4 EXTERNAL RELATIONS - Agreements** **0300/0700/4 GOVERNANCE - Agreements** **0450/0700/4 LEGAL SERVICES - Agreements** **0600/0700/4 RESEARCH – Agreements** Records of contracts for smaller scale activities which are not under seal. Includes records associated with the negotiation process (excluding tender records). Retention period – 7 years **0150/0700/3 COLLECTION MANAGEMENT - Agreements** **0200/0700/3 EXTERNAL RELATIONS - Agreements** **0300/0700/3 GOVERNANCE - Agreements** **0450/0700/3 LEGAL SERVICES - Agreements** **0550/0700/3 PROPERTY, ASSETS & EQUIPMENT - Agreements** **0600/0700/3 RESEARCH – Agreements** Records of deed for smaller scale activities which are under seal.

	Includes records associated with the negotiation process (excluding tender records). Retention period – 15 years **Please note:** The point in time when the retention period begins, is the point at which the matter is no longer required for administrative use. For example, an agreement concerning a small University Library collection may have a 7 year retention. However, due to the collection remaining active and in ongoing University custody, the retention 7 year period does not begin as the administrative use has not ceased. The agreement will remain active alongside the management of the collection material.
Business use of records:	To record agreements between UOM and external parties and the responsibilities of each within the agreement. These form the basis of the University's relationship with suppliers, contractors, partners and other entities.
Business users of records:	The University business unit engaged and the support services that facilitate and maintain the agreement. For example, Legal Services, Procurement Services, Research and Records & Compliance.
Intellectual Property rights for these records:	Owned by the University of Melbourne
Record custody: For UoM indicate business area External (including PROV on loan)	With Records & Compliance, UOM

Diagram showing stages covered by digitisation plan and explanation.

Note:
R&C = Records and Compliance
UDC = University Digitisation Centre

Overview of record type:

Record format: Size, shape, type of record etc.	Predominantly A4, with some minor exceptions, both double and single sided, can be multiple pages.
Image type:	☒ High contrast or colour not important - to be scanned as black and white ☐ Colour photograph ☒ Low contrast or colour important - to be scanned as colour ☐ Black and white negatives ☐ Black and white photograph ☐ Colour negatives
Potential scanning issues : Staples, folds, damage, binding etc.	Agreements stapled, clipped, A3, items where colour is important and needs to be digitised
Additional information to be captured as part of scan: Annotations, sticky notes etc.	Post it notes to be moved to side of page for scanning if required for business purpose.
Single/double sided:	Can be double or single sided. Both sides of all pages are scanned. Software to delete 'blank' pages based on scanner parameters set.
Special handling requirements:	Documents to be prepared prior to scanning. Specifically: • Staples removed • Unclipped, dog-ears straightened • Separator sheet placed between each safe custody document, multi OR single sheet pages as required • Stabilise batches with rubber bands or fold-back clips • Label batches as safe custody documents for scanning including date of batch • Identification of digitisation requirements – black and white or colour

Digitisation processing plan - Elements with probable consistency, requiring minimal monitoring

Equipment used may include:	• If digitised by University Digitisation Centre (UDC): Kodak i620 or Kodak i280 etc. • If digitised by Research, Innovation and Commercialisation: Toshiba e-Studio 5055C and Toshiba e-Studio 5560C. • If digitised by Legal Services: Toshiba e-Studio 6540C. • If digitised by Records & Compliance: Fujitsu fi-6230z and Fuji Xerox DPCM405df.
Staff undertaking scanning: (Position title or team name)	Administrative Staff across the University.
Location of scanning equipment:	When digitised by business area, scanner will vary dependent on area. Main areas using this process are: • Legal Services, Level 5, Alan Gilbert Building, 161 Barry Street,

	Carlton.
	• Research, Innovation and Commercialisation, Level 5, Alan Gilbert Building (Room 548), 161 Barry Street, Carlton.
	• Records & Compliance, Level 4, 161 Barry Street, Carlton (Room 456).
	• University Digitisation Centre, 158 Bouverie Street, Carlton.
	• Other scanners may be used, but resulting converted records will conform to the prescribed Image Specifications and Quality Assurance process.
Storage of records prior to scanning:	Handled by creating Business Area/Departments, External parties, Records & Compliance and Digitisation. Transferred by mail porters at each stage.
Immediate storage location of digitised records (hard copies) after scanning:	If digitised by business unit forwarded via internal mail to Records & Compliance. University Digitisation Centre, 158 Bouverie Street, Carlton and returned to Records & Compliance.
Storage location of record image for business use: including registration of image	If digitised by business unit, forwarded by email to Records Services inbox, and registered into HP Records Manager. Images registered and stored in HP Records Manager.

Elements with possible inconsistency, requiring regular monitoring

Pre scanning processing of records: (i.e. removal of staples, repositioning of sticky notes special handling measures)	Document preparation as detailed above (potential scanning issues).
Image resolution required:	200 dpi minimum.
Bit depth:	24 bits for colour, 1 bit for black and white.
Colour management:	Colour where colour is required. N/A where not needed.
Compression type:	Lossless
Output format:	PDF
Temporary output location:	Records & Compliance shared drive or Outlook mailbox before moved to HP Records Manager (depends on scanner used).
Converted (scanned/digital) record to be OCR?	Yes – by Digitisation officers within UDC. If digitised by business area, then ideally by business area, but otherwise by Records & Compliance.
Post scanning processing of converted records:	Registered or updated in HP Records Manager as applicable. OCR if required.

e.g. Renaming of files, relating to source record, cropping, colour adjustment etc.	
Post scanning processing of source (hard copy/digitised) record: e.g. Rebinding, re-stapling, day-boxing	Day boxing at Records & Compliance and held for a period of 1 month.
Metadata elements captured:	Title, purpose, and type of agreement, parties to agreement, date of execution, and commencement and end dates if applicable.

Quality Assurance process

Standard QA checklist for converted (digital) image followed? Yes/no	Yes. For QA undertaken by Records & Compliance. University Digitisation Centre QA is equally stringent.
Specific QA elements for this record type:	Signatures and any stamps on the document are legible.
Frequency of monitoring of equipment and process:	Client - as required. University Digitisation Centre – daily.
Process following quality failure: Other records in batch checked, rescan of single record or batch as required or other and logging activity	Quality failure by business area is mitigated by rescan of record by UDC when received by Records & Compliance. Quality failure by UDC is: • Single record noted for retrieval/re-scanning • Single record scan deleted from University Secretary shared drive • Rescan of single record by UDC Post scanning failure – (highly unlikely) – record received from daybox and rescanned by Records & Compliance.
Post failure remediation activities: i.e. training, testing and configuration of scanner	• Scanner - Provide feedback to University Digitisation Centre (UDC). • Software - referred to IT help desk.

Post scanning management of source (hard copy/digitised) record

Retention period of source (hard copy/digitised) record: Retain for x months for QA or retain for period of RDA	Minimum of 30 days. Records meeting 100 point criteria retained permanently.
Storage location of source records awaiting destruction	Level 4, Alan Gilbert Building or Basement Compactus, Alan Gilbert Building.

after QA period	
Security measures for source record:	Secured shelving in (key locked) compactus or key swipe secure area.
Access control for source record:	Only authorised personnel have access to this area.

Post scanning management of converted (scanned/digital) record

Security measures for converted (scanned/digital) record:	Held in secure software system (HP Records Manager [access control groups apply]).
Access control for converted record:	Single domain University username/password. Access available only to those within relevant access control groups.
Record export conditions: i.e. metadata to be exported	Both image and metadata will be migrated to new system.
Export formats for records:	Both image and metadata will be migrated to new system.

Backup and restoration process:

Standard ITS supported back up process? Yes/no	Yes.
Specific backup and restoration protocols:	HP Records Manager.
Disaster recovery methods:	HP Records Manager.

Other information about this plan:

What are the benefits and purposes of digitising this record type?	To ensure a full and accurate record of business. Currently the record is fragmented, with key documents not available to users in HP Records Manager. This will also provide environmental benefits as we move from a hardcopy to a wholly electronic environment, and benefits in terms of hard copy storage. There is also a disaster recovery benefit in preventing loss of vital records.
Who are the users of this record prior to digitisation? In what way is it used?	Various to support various business activities.
Are there any risks associated	None. Digitisation of this record mitigates the risk of loss of the record.

with digitising this record? Is the digitisation of this record designed to mitigate a risk?	
Does the record have an artefactual value? i.e. does the physical record require retention due to its significance?	In some instances, yes, however if a record meets the 100 point criteria (artefactual value equals 100 points) both hardcopy and electronic version will be retained permanently and transferred to Archives as appropriate. A converted version may not be viewed as equal to the source records in some foreign jurisdictions. In these cases the hard-copy of temporary agreements may need to be retained alongside the converted version. The 100 point criterion addresses this eventuality.
How will the converted (digitised) records be tested for integrity over time? How will they be maintained over time to ensure continued access for their retention period?	Maintenance of HP Records Manager system, information migrated with upgrade to the software.