Records & Information Template

Digitisation Plan for University Records

This Digitisation Plan should be completed by a University work unit with support from Records & Information: records-info@unimelb.edu.au.

The University has responsibilities under the *Public Records Act 1973* to appropriately and lawfully create, manage and dispose of University records. This plan helps ensure the digitisation of University records is properly planned and managed in accordance with [*PROS 19/05 S1 Digitisation Specification*](https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1905-s1-digitisation-specification) requirements.

This plan can be used for an ongoing digitisation activity for a group of records within a University work unit, or when undertaking a one-off project to digitise a specific group/collection of University records.

|  |
| --- |
| * It is a requirement to prepare a Digitisation Plan if you are planning to digitise hardcopy source records and treat the digitised copy as the official record.
* If you plan to destroy the original source record, ensure this is permitted under [*PROS 19/07 Converted or Digitised Records Retention and Disposal Authority*](https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1907-converted-or-digitised-records) *(RDA).*
* It is unlawful to destroy digitised source records without a completed and authorised Digitisation Plan.
* A new plan should be created when the digitisation process, technology or tools, or way the records are going to be managed significantly change.
 |

## Digitisation Plan summary

|  |  |
| --- | --- |
| Work unit contact (name and position): |  |
| Short description of records: |  |
| Work unit: |  |
| Location of work unit and records: |  |
| Records & Information contact (name and position): |  |
| Plan review date: |  |

## Work unit authorisation (sign below using wet/digital signature, or obtain approval via email)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Name: |  | Signature of Work Owner (Level 4-5 in the [VC Delegation Schedule](https://unimelb.service-now.com/sys_attachment.do?sys_id=393e1e7b1bcf1d1046152067b04bcb2e)): |  | OR | Approval obtained via email (attached) [ ]  |
| Date: |  |  |

## Certificate of Compliance by authorised delegate

I confirm that the requirements of *PROS 19/05 S1 Digitisation Specification* and, if applicable, *PROS 19/07 Converted or Digitised Records RDA* are being met in respect to converting or digitising the records outlined in this Digitisation Plan.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Name: |  | Signature of Authorised Delegate (Level 3 or higher in the [VC Delegation Schedule](https://unimelb.service-now.com/sys_attachment.do?sys_id=393e1e7b1bcf1d1046152067b04bcb2e)): |  | OR | Approval obtained via email (attached) [ ]  |
| Date: |  |  |

# Source records to be digitised

## Overview of source records

|  |  |
| --- | --- |
| Description of records:(Type and purpose) |  |
| [University Records RDA](https://records.unimelb.edu.au/services/disposal_advice/rda) class and retention period for the records:  |  |
| [PROS 19/07 RDA](https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1907-converted-or-digitised-records) class, status, disposal action and conditions to be met:(include if PROV needs to authorise destruction of source record) |  |
| Business/researcher users of records: |  |
| Intellectual property: |  |

## Physical characteristics of source records

|  |  |
| --- | --- |
| Size(s):(A4, A3, Various, etc) |  |
| Document structure:(handbook, folded, bound, etc) |  |
| Single, double-sided or combination: |  |
| Potential scanning issues:(dog ears, staples, various types of paper sizes, University seals requiring higher quality imaging etc) |  |
| Additional informational content:(post-it notes, memos, etc) |  |
| Artefactual value:(unique or significant cultural, artistic or historical attributes to the physical record which warrants its ongoing retention) |  |

## Risks and benefits of digitising source records

|  |  |
| --- | --- |
| Purpose of digitisation: |  |
| Risks involved in digitisation:  |  |
| Statement of benefits:  |  |

# Digitisation process

## Overview of the digitisation project

|  |  |
| --- | --- |
| On-going / one-off project:(indicate timeframe for one-off project) |  |
| Scanning on University premises / off-site provider: (indicate campus location/ service provider details) |  |
| Staff positions conducting the digitisation: |  |

## Digitisation stages

|  |  |
| --- | --- |
| High level diagram / outline of digitisation stages:(insert diagram below or use bullet points to outline the digitisation stages) |  |

## Scanning and processing

|  |
| --- |
| Scanning equipment to be used (Hardware and software):  |
|  | **Text and Image Documents** | **Photographs** |
| (Tick all relevant) | **Black & White**[ ]  | **Colour**[ ]  | **Black & White**[ ]  | **Colour**[ ]  |
| **Description** | Content is only black & white. | Content is *colour and is meaningful* to understanding the content. | Content is *only* black & white. | Material is *only* colour photographic material. |
| **Type of Image** | Bi-tonal | Colour | Greyscale | Colour |
| **Resolution (dpi)** | 200 dpi | 200 dpi | 600 dpi | 600 dpi |
| **Bit-depth (bit)** | 1 bit | 24 bit | 8 bit | 24 bit |
| **Colour Management** | Not Applicable | Embedded ICC Colour Profile | Embedded ICC Colour Profile | Embedded ICC Colour Profile |
| **Compression** | Lossless compression | Lossless compression | Lossless compression | Lossless compression |
| Output format (PDF, TIFF, JPEG etc):  |
| Optical Character Recognition (OCR) used (Y/N):  |
| Metadata to be captured:  |
| Post-processing of digitised images (cropping, consolidation of files, renaming etc): |
| Temporary output location of digitised record (shared drive, email, etc): |

## Source record handling before and during digitisation

|  |  |
| --- | --- |
| Physical storage of records before scanning: |  |
| Tracking and transport method: |  |
| Pre-processing of records before scanning:(removal of staples etc) |  |
| Special handling requirements during scanning: |  |

## Quality assurance (QA)

|  |  |
| --- | --- |
| [Digitisation QA checklist](https://records.unimelb.edu.au/__data/assets/word_doc/0005/3959960/RITemplate-DigitisationQualityAssuranceChecklist.docx) used (Y/N): |  |
| Specific QA measures required:(e.g. signatures/seal clear, colour included, etc) |  |
| Metadata QA activities: |  |
| Frequency of monitoring equipment and process: |  |
| Process following quality failure: |  |
| Post-failure remediation activities(testing and reconfiguration of scanner etc): |  |

# Management of records after digitisation

## Management plan for digitised records

|  |  |
| --- | --- |
| Recordkeeping system to manage records: |  |
| Digital storage location: |  |
| Digital security and access: |  |
| Privacy implications and access considerations: |  |
| Available export formats for records:(Permanent records must be in a long term sustainable format. See [PROS 19/05 Specification](https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1905-s3-long-term-sustainable-formats-specification)) |  |
| Backup procedures: |  |
| Specific backup and restoration protocols: |  |
| Disaster recovery procedures: |  |

## Management plan for source hardcopy records

|  |  |
| --- | --- |
| Retention period and disposal action for source records:(Retain XX days for QA then destroy, transfer Permanent source records to UMA etc) |  |
| Temporary physical storage location: |  |
| Security and physical access to location: |  |
| Secure destruction method (if applicable): |  |
| University system to track source records: |  |

*END OF PLAN*