

Notice of Variation

Digitisation Requirements Specification PROS 11/07 S1 Variation 4

(Section 12)

Capture Specification One: Digitisation Requirements Specification (PROS 11/07 S1)

Variation 4:

In accordance with section 12 of the Public Records Act 1973 (as amended), I hereby vary the *Capture Standard: Specification One – Digitisation Requirements*, issued as Public Record Office Standard (PROS) 11/07 S1 on 01 January 2010, as follows:

Extension of the application of this Specification until 31 December 2018

This Variation shall have effect from its date of issue.



Justine Heazlewood

Director and Keeper of Public Records

Date of issue: 20/6/2017



Public Record Office Victoria
PROS 11/07
Capture Standard

Specification

1

Digitisation Requirements

Version Number: 1.4

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Copyright notice

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Version	Version Date	Details
1.0	01/01/2010	Released
1.1	12/09/2011	Content unchanged. New version issued to renumber the document. PROS number updated to new Capture Standard number; updated to new Specification template styles; expiry date adjusted to five years; disclaimer wording adjusted to updated version.
1.2	25/07/2013	Copyright changed to Creative Commons license
1.3	31/12/2014	Expiry date extended twelve months
1.4	22/06/2017	Extension of Expiration Date to 31/12/2018

1 Introduction

This Specification details the *minimum* set of requirements that an agency must satisfy when digitising physical originals in order to dispose of them after digitisation. The requirements are designed to ensure that a digitisation effort results in the creation of a full and accurate copy of the physical original.

Some records may not be disposed of after digitisation regardless of whether or not the digitisation project satisfies these minimum requirements. Records that cannot be disposed of generally have particular requirements to keep the record in a specific format, or have a value as a physical artefact. Details of what types of records cannot be disposed of after digitisation can be found in the *General Retention and Disposal Authority for converted Source Records (PROS 10/01)*.

It is expected that agencies will adopt more stringent digitisation requirements than those contained in this Specification for records identified as vital for the continued functioning of the agency, or whose loss would have significant legal or financial consequences.

1.1 Purpose

The purpose of this Specification is to provide a set of measurable requirements which define the criteria for digitising records with a view to using the digital copy as the official record and disposing of the source record.

PROV *General Retention and Disposal Authority for converted Source Records (PROS 10/01)* prohibits the disposal of source records unless the following conditions are met:

- A risk assessment has been carried out on the risks an agency incurs in converting the records;
- A full and accurate copy of the source record has been created;
- The converted record becomes the official record of the business of the agency;
- The converted record is managed in a system that is designed to ensure access for the full retention period of the record;
- The source record does not have value as a physical artefact;
- There is no requirement imposed upon the agency by legislation, regulation, government policy/directive, agency policy, standard, or written PROV direction that the source record be retained in a specific format; and
- The source record has not been temporarily returned on loan from PROV.

When digitising source records, an agency can demonstrate compliance with these conditions by fulfilling the requirements of this Specification.

In addition, this Specification will assist agencies in the implementation of PROS 11/07 *Capture Standard* through the provision of clear principles and the specific requirements to be met in order to implement them. The implementation of these principles will enable your agency to effectively manage the records management activities within your agency, including the digitisation of records and use of the digital copy as the official record.

Each principle within this specification has a number of related requirements. These are individually numbered and described under the appropriate principle. The evidence of

compliance is detailed against the appropriate requirement. Appendix 1 provides a self-assessment checklist for your agency against the requirements within this Specification.

1.2 Scope

This Specification applies to all digitisation activities where the physical original is to be disposed of irrespective of:

- Whether the digitisation occurs pre-action or post-action. Pre-action digitisation (or pre-action conversion) is where the record is digitised before any action is taken upon it (e.g. in the mailroom upon receipt of the record). Post-action digitisation (or post-action conversion) is where the record is digitised after it has been used as the basis for action (e.g. back-file conversion).
- The age of the records.
- Whether the record is permanent or temporary.

The specification does not apply where:

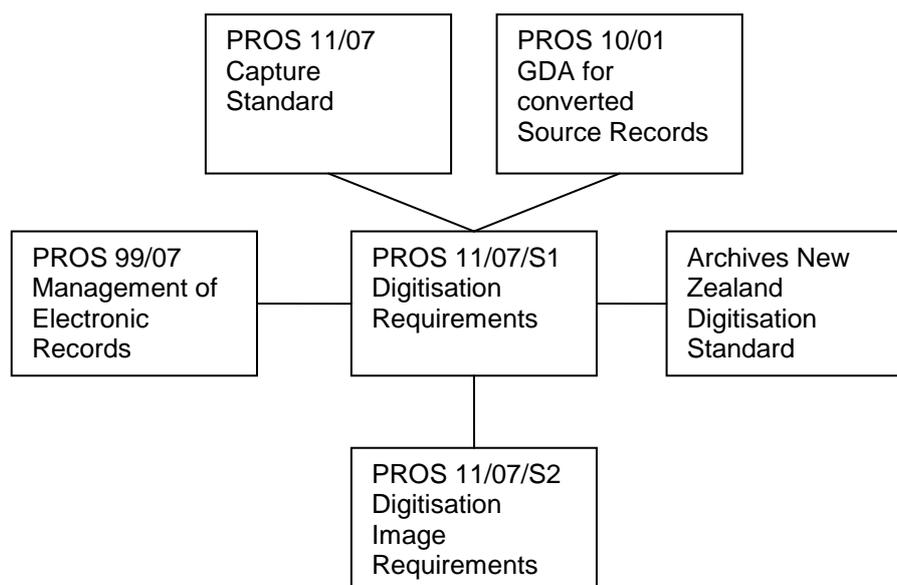
- The physical original is to be retained as the official record in the agency after digitisation (i.e. the digitised copy is purely an access copy). However, in this case it will not generally be possible to subsequently decide to dispose of the physical original without substantial additional work.
- The records are 'born digital' records; that is records that were originally created in a digital format and are held in that format.

This Specification only covers principles from the Standard that are of relevance to this area. For a full list of all the principles within this Standard, please see the relevant Standard. These can be accessed online at: www.prov.vic.gov.au.

1.3 Related Documents

- Public Record Office Victoria, General Retention and Disposal Authority for converted Source Records (PROS 10/01)
- Public Record Office Victoria, Capture Standard (PROS 11/07)
- Public Record Office Victoria, Digitisation: Image Requirements (PROS 11/07/S2)
- Public Record Office Victoria, PROS 99/007 Management of Electronic Records.
- Archives New Zealand, Digitisation Standard (<http://continuum.archives.govt.nz/files/file/standards/s6.pdf>)

The diagram on the following page shows the relationship between these documents and this Specification.



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2 Requirements

Victorian agencies have two options in demonstrating compliance with the requirements of this Specification.

The first option is to prepare a Digitisation Plan in accordance with Requirements 1 to 7 (Set One), and to retain evidence that the Digitisation Plan was correctly carried out.

The second option is to prepare a Digitisation Activity Plan and then implement the mandatory requirements listed in Appendix 1 of the Archives New Zealand Digitisation Standard (ANZDS), January 2007, (Requirement 8) with certain amendments as detailed in Requirements 10 to 12 (Set Two). Choosing this option offers agencies freedom to develop their own digitisation approach and recordkeeping requirements, or to adapt those from other jurisdictions. This option also provides latitude to allow agencies who have already undertaken a high quality digitisation activity, but which could not meet the formal requirements of Set One. However, agencies should be aware that compliance against the Archives New Zealand Digitisation Standard is likely to require a similar level of planning and documentation as that required by the first option.

In either case, it will be necessary for the agency to lodge the appropriate certificate of compliance signed by their CEO with PROV. The compliance certificates will be found in Appendices 2 and 3.

Agencies must provide (or make available) copies of the records of the digitisation activity (including any documents planning the activity) upon request of the PROV.

Requirements Set One	Evidence of Compliance
<p>1. The agency must prepare and implement a Digitisation Plan in accordance with requirements 2 to 7</p>	<p>Certificate of compliance (see Appendix 2).</p>
<p>2. The agency must prepare a Digitisation Activity Plan with the following sections:</p> <ul style="list-style-type: none"> • Scope definition • Appraisal analysis • Purpose of digitisation • Statement of benefits • User needs and impacts • Risk analysis • Intellectual Property analysis • Format requirements • Value as an artefact • Loan check • Source document review • Digitisation location • Equipment and resources 	<p>The Digitisation Activity Plan must be made available to PROV upon request together with the evidence that the Activity Plan was carried out.</p>
<p>3. The agency must prepare a Digitisation Image Specification with the following details for each type of source document:</p> <ul style="list-style-type: none"> • Resolution required • Type of image • Bit-depth • Colour management • Output format(s) • Compression algorithms 	<p>The Digitisation Image Specification must be made available to PROV upon request together with the evidence that the Digitisation Image Specification was followed.</p>
<p>4. The agency must prepare a Digitisation Processing Plan with the following sections:</p> <ul style="list-style-type: none"> • Process set-up • Retrieval of records • Pre-processing of records • Scanning records • Post-processing of source records • Post-processing of images • Capture of metadata • Generation of records • Registration of converted records • Return of source records • Reprocessing of records 	<p>The Digitisation Processing Plan must be made available to PROV upon request together with the evidence that the Digitisation Processing Plan was carried out.</p>
<p>5. The agency must prepare a Management Plan for the Converted Records with the following sections:</p> <ul style="list-style-type: none"> • Record management • Security and access control • Storage • Back-up and restoration • Disaster recovery • Export 	<p>The Management Plan must be made available to PROV upon request together with the evidence that the Management Plan was and is being carried out.</p>

Requirements Set One	Evidence of Compliance
<p>6. The agency must prepare a Management Plan for the Source Records with the following sections:</p> <ul style="list-style-type: none"> • Disposal status • Record management • Disposal process • Audit requirements 	<p>The Management Plan must be made available to PROV upon request together with the evidence that the Management Plan was carried out.</p>
<p>7. The agency must prepare a Quality Control and Assurance Plan for the converted records with the following sections:</p> <ul style="list-style-type: none"> • Image accuracy • Record accuracy • Storage reliability • Quality failure processes • Logging and analysis 	<p>The Quality Control and Assurance Plan must be made available to PROV upon request together with the evidence that the Quality Control and Assurance Plan was carried out.</p>

Requirements Set Two	Evidence of Compliance
<p>8. The agency must prepare a Digitisation Activity Plan (see requirement 9) and implement the mandatory requirements listed in Appendix 1 of the Archives New Zealand Digitisation Standard (ANZDS), January 2007, (http://continuum.archives.govt.nz/files/file/standard/s/s6.pdf) with certain amendments as detailed in requirements 10 to 12.</p>	<p>Certificate of compliance (see Appendix 3). Documentation as to how these mandatory requirements are to be met. This documentation must be made available to PROV upon request.</p>
<p>9. The agency must prepare a Digitisation Activity Plan with the following sections:</p> <ul style="list-style-type: none"> • Scope definition • Appraisal analysis • Purpose of digitisation • Statement of benefits • User needs and impacts • Risk analysis • Intellectual property analysis • Format requirements • Value as an artefact • Loan check • Source document review • Digitisation location • Equipment and resources 	<p>The Digitisation Activity Plan must be made available to PROV upon request together with the evidence that the Activity Plan was carried out.</p>
<p>10. Agencies MUST ensure that the records are either unalterable, or that any changes to the digitised records be detectable, by the recordkeeping system in all storage media. This requirement replaces ANZDS Requirement 2.4.1 (Digitised records MUST be unalterable in all storage media).</p>	<p>Supporting documents detailing the method of complying with this mandatory requirement must be made available to PROV upon request. Documentation showing adherence to the methods of complying must be made available to PROV upon request.</p>
<p>11. Agencies MUST ensure that the integrity of digitised records held on individual media is statistically sampled over time to detect corruption.</p>	<p>Supporting documents detailing the method of complying with this mandatory requirement must be made available to PROV upon request. Documentation showing adherence to the methods of complying must be made available to PROV upon request.</p>
<p>12. When digitising permanent records, the converted records must comply with <i>PROS 99/007 (Version 2.0), Management of Electronic Records</i> (VERS standard)</p>	<p>Supporting documents detailing the method of complying with this mandatory requirement must be made available to PROV upon request. Documentation showing adherence to the methods of complying must be made available to PROV upon request.</p>

3 References

Legislation

Victorian Evidence Act 2008 (No 47 of 2008), Version as at 16 September 2008 ([http://www.legislation.vic.gov.au/Domino/Web_Notes/LDMS/PubLawToday.nsf/a12f6f60fbd56800ca256de500201e54/6B8E277F6392C41BCA2574CC007A6F08/\\$FILE/08-47a001.pdf](http://www.legislation.vic.gov.au/Domino/Web_Notes/LDMS/PubLawToday.nsf/a12f6f60fbd56800ca256de500201e54/6B8E277F6392C41BCA2574CC007A6F08/$FILE/08-47a001.pdf) accessed 30 September 2009)

Standards

General Retention and Disposal Authority for converted Source Records, PROS 10/01, Public Record Office Victoria, Version 1.0, January 2010, (<http://prov.vic.gov.au/wp-content/uploads/2011/05/PROS10-01ConvertedRecords-WebVersion20110107.pdf>)

Digitisation Image Requirements, PROV Specification PROS 11/07/S2, Public Record Office Victoria, Version 1.1, September 2011, (<http://prov.vic.gov.au/wp-content/2011/09/1107s2.pdf>).

Digitisation Standard, Archives New Zealand, 29 January 2007, (<http://continuum.archives.govt.nz/files/file/standards/s6/index.html> accessed 30 September 2009)

PROS 99/007 (Version 2.0) Management of Electronic Records, PROV, 31 July 2003, (<http://www.prov.vic.gov.au/vers/standard/version2.htm>)

Other Resources

Guide to GDA for converted Source Records, PROS 10/01/G1, Public Record Office Victoria, Version 1.0, January 2010, (<http://prov.vic.gov.au/wp-content/uploads/2011/05/1001g1-20100310.pdf>)

Guide to Digitisation Requirements, PROS 11/07/G1, Public Record Office Victoria, Version 1.1, September 2011, (<http://prov.vic.gov.au/wp-content/uploads/2011/09/1107g1.pdf>)

Evidence and Electronic Public Records, PROV Advice to Victorian Agencies PROA 10/21, Version 1.0, January 2010, (<http://prov.vic.gov.au/wp-content/uploads/2011/05/PROVRMadvice21.pdf>)

Introduction to the Uniform Evidence Act in Victoria: Significant Changes, Judicial College of Victoria, 2009, ISBN-13: 978-1-921028-84-7, (<http://www.judicialcollege.vic.edu.au/publications/uniform-evidence-resources> accessed 4 December 2009)

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Appendix 1: Compliance Checklist

	<i>Compliance Requirement</i>	<i>Evidence of Agency Compliance</i>	<i>Met</i>	<i>Not Met</i>	<i>Comments</i>
	Record Capture				
	Victorian agencies must maintain full and accurate records.				
	Agencies must implement one of the two following sets of requirements either Set One (requirements 1 to 7) or Set Two (requirements 8 to 12).				
1.	Set One: The agency must prepare and implement a Digitisation Plan in accordance with requirements 2 to 7.				
2.	The agency must prepare a Digitisation Activity Plan containing the mandatory information				
3.	The agency must prepare a Digitisation Image Specification containing the mandatory information				
4.	The agency must prepare a Digitisation Processing Plan containing the mandatory information				
5.	The agency must prepare a Management Plan for the Converted Records containing the mandatory information				
6.	The agency must prepare a Management Plan for the Source Records containing the mandatory information				
7.	The agency must prepare a Quality Control and Assurance Plan for the converted records containing the mandatory information				
8.	(Set Two) The agency must prepare a Digitisation Activity Plan (requirement 9) and implement the mandatory requirements listed in Appendix 1 of the Archives New Zealand Digitisation Standard (ANZDS), January 2007, (http://continuum.archives.govt.nz/files/file/standards/s6.pdf) with certain amendments as detailed in requirements R10 to R12				
9.	The agency must prepare a Digitisation Activity Plan containing the mandatory information				

	<i>Compliance Requirement</i>	<i>Evidence of Agency Compliance</i>	<i>Met</i>	<i>Not Met</i>	<i>Comments</i>
10.	Agencies MUST ensure that the records are either unalterable, or that any changes to the digitised records be detectable, by the system in all storage media. This requirement replaces ANZDS Requirement 2.4.1 (Digitised records MUST be unalterable in all storage media):				
11.	Agencies MUST ensure that the integrity of digitised records held on individual media is statistically sampled over time to detect corruption				
12.	When digitising permanent records, the converted records must comply with <i>PROS 99/007 (Version 2.0), Management of Electronic Records</i> (VERS standard)				

Appendix 2: Compliance certificate against Requirements 1 to 7

<p>Certificate of Compliance PROV Specification on Digitisation Requirements (PROS 11/07/S1) R1: Digitisation Plan</p> <p>I _____ Chief Executive of (Name)</p> <p>_____ (Name of agency)</p> <p>confirm that the organisation has demonstrated to my satisfaction that Requirement R1 of PROV Specification on Digitisation Requirements (PROS 11/07/S1) has been met and can continue to be met when digitising the following records:</p> <p>_____ (Description of records)</p> <p>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).</p>
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Requirement R1 of PROV Specification on Digitisation Requirements (PROS 11/07/S1) requires agencies to prepare a digitisation plan for the source records being digitised. This digitisation plan must include the following documents:

- Digitisation Activity Plan;
- Digitisation Image Specification;
- Digitisation Processing Plan;
- Management Plan for the Converted Records;
- Management Plan for the Source Records; and
- Quality Control and Assurance Plan.

Each of these documents must contain mandatory information. The digitisation plan and the records that the digitisation was carried out in accordance with the plan may be audited.

Appendix 3: Compliance certificate against Requirements 8 to 12

<p>Certificate of Compliance PROV Specification on Digitisation Requirements (PROS 11/07/S1) R8: Archives New Zealand Digitisation Standard (ANZDS) Compliance</p> <p>I _____ Chief Executive of (Name)</p> <p>_____ (Name of agency)</p> <p>confirm that the organisation has demonstrated to my satisfaction that Requirement R8 of PROV Specification on Digitisation Requirements (PROS 11/07/S1) has been met and can continue to be met when digitising the following records:</p> <p>_____ (Description of records)</p> <p>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).</p>
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Requirement R8 of PROV Specification on Digitisation Requirements (PROS 11/07/S1) requires agencies to prepare a Digitisation Activity Plan and then to satisfy the mandatory requirements of the Archives New Zealand Digitisation Standard (ANZDS) with the following amendments:

- Agencies MUST ensure that the records are either unalterable, or that any changes to the digitised records be detectable, by the system in all storage media.
- Agencies MUST ensure that the integrity of digitised records held on individual media is statistically sampled over time to detect corruption.
- When digitising permanent records, the converted records must comply with PROS 99/007 (Version 2.0), Management of Electronic Records (VERS standard).

The method of implementing these requirements must be documented and the records that the digitisation was carried out in accordance with the requirements may be audited.