



OPERATIONAL GUIDELINE

SCANNING AND DISPOSAL OF SOURCE RECORDS

May 2023

Version Control

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V1.0	May 2023	Document creation	Fiona Westenhaver	Drishti Patel

OIM Section Custodian

Name
Information and Records Section

Chief Information Officer Approval

Name	Title	Branch	Date
Antonella Haug	A/Chief Information Officer	Office of Information Management	26 May 2023

Review

This document will be reviewed biennially or earlier if required.

1. OBJECTIVE

To provide guidance to all users on the processes for scanning, Quality Assurance (QA) checking and daily batch boxing of physical records to meet the recordkeeping compliance requirements outlined in the Operational Procedure – Records Digitisation and in line with the State Records Office standards and specifications for the Digitisation of State Records.

2. SCOPE

This guideline supports the department's Digital and IT Strategy and provides guidance to Business Units for implementing the overarching instructions of Operational Procedure – Records Digitisation. The guideline applies to all persons granted access to the department's information and related technology (IT).

3. CONTEXT

The department is committed to transitioning to a digital operating environment and reducing the use, circulation, maintenance and storage of paper records.

4. IMPLEMENTATION

4.1 Scanning process

4.1.1 Scanner and document preparation

- Ensure the scanner is cleaned each day before scanning any documents. Regular cleaning and monthly calibration of the Multi-Function Device (MFD) should be undertaken to ensure that the device is functioning optimally.
- Prepare your document for scanning by removing any paper clips, staples and anything else that can get caught in the scanner.
- Place the document either face up in the auto feed tray or face down on the glass. Ensure the ends of the document are not bent over. For documents with varying page sizes, make sure that all pages are aligned at the top left-hand corner.

4.1.2 Scan the document

- Select the email address you want the scanned document to be sent to. Refer to the MFD instruction manual to add email addresses to the address book.
- Check the scanner settings:
 - The scanner should be set at 300 dpi if you are scanning a text document (see **Appendix 1 Technical Specifications**)
 - Select the appropriate scan options for one-sided or double-sided documents including the "Delete blank page" option for a mix of one-sided and double-sided documents.

4.2 Quality Assurance (QA) checking

The quality of digital reproductions must be of sufficient quality to ensure that the department can be confident of the authenticity, integrity, reliability, and useability of the digital records. QA checks must be in place to ensure that the source record has been completely and thoroughly digitised. The digitised record is checked, preferably by a second staff member, to ensure that the source record has been completely and thoroughly digitised, i.e. all pages have been scanned including any notes and markings. A final QA check is carried out on a sample of documents from each batch box as part of the disposal process.

4.2.1 QA checklist for scanned documents

Refer to Appendix 2 for the QA checklist

- Any documents that don't meet the below criteria will require re-scanning
- Officers Responsible
 - QA1 – person doing the scanning
 - QA2 – person doing the second check (preferred, not mandatory)

4.2.2 QA1 Check

The first QA check is done by the person who scanned the document.

- Open up the email that contains the scanned document and compare the original document with the scanned document as per the **QA checklist for scanned documents (Appendix 2)**. If there are any faults with the scanned document, repeat the scanning process and re-check the document.
- If all QA checks meet the required standards, register the scanned document (not the email containing the scanned document) into the correct location in the Electronic Digital Records Management system (EDRMS) ensuring you follow the standard naming conventions and complete all relevant metadata fields, including the batch box number the physical document will be placed in.
- Write the file number and document number in the top right-hand corner of the front page of the document. Copy the document number from the EDRMS and paste into the **Batch Boxing Sheet (see Appendix 3)** for the box that the document will be placed in. Fill in your name/initials in the corresponding column for QA1.
- Delete the email containing the scanned document from the email inbox after you have registered the document correctly into the EDRMS.

4.2.3 QA2 Check (preferred, not mandatory)

The second QA check may be done by another person who did not scan the document.

- Using the file or document number written in the top right-hand corner, search for the document in the EDRMS. Make sure that the document has been saved in the correct corporate file.
- Compare the original document with the scanned document as per the **QA checklist for scanned documents (Appendix 2)**. If there are any faults with the scanned document, repeat the scanning and both QA checks, i.e. hand the document back to the person who scanned it for re-scanning and to start the QA process again.
- Once the second check has been successfully completed, fill in your name or initials in the corresponding column for QA2 in the batch boxing spreadsheet.

4.3 Batch boxing of scanned sourced records

If all QA checks meet the requirements, update the batch box spreadsheet list relevant to the box number you are putting the physical document in and place the document into the box. Contact Recordkeeping Services to create a batch box.

4.4 Disposal of source records

The period of retention for original source records after scanning will depend on the category of source records.

- High volume administrative/transactional source records: can be disposed of as soon as quality of the digital reproduction is verified as adequate for business purposes. E.g. accounting records such as purchase orders, invoices, receipts, etc.
- All other source records: must be retained for a 12 month minimum period after the date of scanning and quality assurance.

Contact Recordkeeping Services when your batch boxes are full and ready for disposal.

4.4.1 Destruction not permitted

Destruction of source records is not permitted under the General Disposal Authority for Source Records (GDASR) if the record:

- is a State archive created prior to 2000, or which is on loan from the State Archives;
- has significant aesthetic or intrinsic value in its original format, e.g. original proclamations, charters, testimonials, intergovernmental treaties or artwork;
- is not covered by an approved records disposal authority; and
- is subject to a legislative or government requirement to be kept in its original format.

In addition to the records above, a risk assessment has been completed and identified the following source documents as not suitable for destruction:

- Documents with a Common Seal affixed;

- Corporate Firearms Licences; and
- Large maps/plans/drawings that cannot be scanned to original size.

5. ROLES AND RESPONSIBILITIES

- 5.1 Office of Information Management (OIM) is responsible for:
- ensuring the information and technology resources required to support the digitisation of source records are preserved, protected and remain accessible.
 - the development and ongoing review of this guideline.
- 5.3 Recordkeeping Services (or Statutory Authorities Records Unit) are responsible for:
- Implementation of the digitisation procedure and the disposal of source records for incoming mail.
 - Education of staff on the new incoming mail scanning and digital distribution process.
 - Advice to Cost Centres planning to implement scanning and disposal of source records.
- 5.4 Quality Assurance first check (QA1) is the officer responsible for scanning the document and checking that it meets all requirements of the QA checklist for scanned documents (Appendix 2) and completing all steps in 4.2.2 QA1 Check.
- 5.5 Quality Assurance second check (QA2) is the officer responsible for performing the second check of the document and ensuring that it meets all requirements of the QA checklist for scanned documents (Appendix 2) and completing all steps in 4.2.3 QA2 Check.
- 5.6 Quality Assurance final check (QA Final) is carried out on a sample of documents from each batch box as part of the disposal process by the Recordkeeping Services Officer responsible for Retention and Disposal (R&D).

6. PUBLICATION

This guideline will be made available on the OIM Intranet

7. KEY WORDS

Digitisation; disposal; quality assurance; scanning; source records.

8. REVIEW

This guideline will be reviewed no later than July 2025.

9. CUSTODIAN AND AUTHORISATION

Chief Information Officer

APPENDIX 1 – Technical Specifications

Reference: Western Australian Government Specification for Digitisation of State Records

1. REQUIREMENTS FOR TEXT DOCUMENTS

Digitisation of text documents must be done to a level that ensures not only that the text remains legible, but that any additional markings on the document are also reproduced and retain their meaning.

Size	Up to A0 - scan to original size
Resolution	Minimum 300 DPI (or equivalent in PPI)
Colours	Minimum 8 bit colour
Black & White	Minimum 1 bit
Greyscale	Minimum 8 bit greyscale
Compression	Lossless

2. PHOTOGRAPHS

Digitisation of photographs must be done to a level that ensures that all elements in the photograph are able to be clearly discerned when shown on screen at 1:1 scale.

Size	Up to A0 - scan to original size
Resolution	Minimum 600 DPI (or equivalent in PPI)
Colours	Minimum 16 bit colour
Black & White	Minimum 16 bit greyscale
Compression	Lossless

3. MAPS AND PLANS


Digitisation of maps and plans must be done to a level that ensures all elements in the map or plan are clearly discernible when shown on screen at 1:1 scale, and that all types of crosshatching or other markings are distinguishable from one another.

Size	Up to A0 - scan to original size
Resolution	Minimum 300 DPI (or equivalent in PPI) Maps and plans with fine lines and detail may require higher resolution
Colours	Minimum 16 bit colour
Black & White	Minimum 8 bit greyscale
Compression	Lossless

APPENDIX 2 – Quality Assurance Checklist for scanned documents

Check the quality of the scanned document by comparing it to the original source record		QA 1	QA 2
1	All pages have been scanned (front and back) and are in order. Blank pages are deleted	<input type="checkbox"/>	<input type="checkbox"/>
2	Pages are oriented correctly. You may need to correct this in a PDF editor	<input type="checkbox"/>	<input type="checkbox"/>
3	Information near the edges has been captured and the smallest detail has been legibly captured (e.g. smallest type size for text, clarity of punctuation marks, including decimal points)	<input type="checkbox"/>	<input type="checkbox"/>
4	Dimensional accuracy is consistent with the original (e.g. alignment of single pages and replicated size of paper)	<input type="checkbox"/>	<input type="checkbox"/>
5	Colours in the scanned document are consistent with the original document (e.g. density of solid black areas, colour captured in colour, correctness of tonal values and colour balances, correctness of brightness and contrast) only when the colour has corporate value . E.g. maps, photographs, images, and significant highlighted texts have to be captured in colour. Insignificant highlights or hand-written text in coloured pens does not have to be captured in colour.	<input type="checkbox"/>	<input type="checkbox"/>
6	The scan quality matches the quality of the physical document and there are no marks in the scan that are not on the original	<input type="checkbox"/>	<input type="checkbox"/>

APPENDIX 3 – Batch Boxing Sheet

 <p>Department of Biodiversity, Conservation and Attractions</p>	<p>Information and Records Section (IRS) Office of Information Management Phone: 9219 9192 Email: cisengquiries@dbca.wa.gov.au</p>	<p>Batch Boxing Sheet for Scanned Source Records</p>
Office Name/Location	Recordkeeping Services - Block 07	
Batch Box Number	RKUSR2301	Date Completed [Date of last record in the box]
Home/Storage Location	Recordkeeping Services - Compactus 2 - Inactive	

Document Number	Date Scanned	QA1 (mandatory)	QA2 (preferable)	QA Final	Comment
DBCABCON-1370212806-422	2/05/2023	Avash Sharma	Marlene Mayhew		
DBCABCON-1370212806-423	2/05/2023	Avash Sharma	MM		
DBCABCON-1370212806-424	2/05/2023	Avash Sharma	MM		