


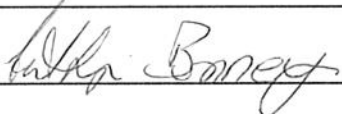
Enterprise Information Management
Records Management and Archives

Digitisation Plan approvals

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 (<http://prov.vic.gov.au/wp-content/uploads/2015/01/1107s1V1.3.pdf>).

Meeting the requirements of this specification is a pre-condition for the University implementing the General Retention and Disposal Authority for Converted Source Records (PROS 10/01) (<http://prov.vic.gov.au/wp-content/uploads/2012/08/PROS10-01ConvertedRecords-WebVersion20120816.pdf>)

The attached document outlines how the business area authorised below will meet the requirements of PROS 11/07/S1, when digitising the nominated records.

| | |
|--|---|
| Areas of responsibility: | Any area within Monash University that creates and manages student records. |
| Records to be digitised: | Student documents considered for capture within a student file. Hardcopy student documents associated with undergraduate, graduate coursework and higher degree research. |
| Approved by: Director, Student and Education Business Services: |  (Neville Hiscox) |
| Group Manager, Enrolment Services: |  (Cathryn Bunney) |
| Date: | 20 JANUARY 2016 |

Approval to proceed

| Position | Name | Authorisation | Date |
|--------------------------|------|---------------|------|
| Records/Archives Manager | | | |

Monash University Student Files Digitisation Program

Digitisation Plan

Version 3.2

Records Management Office
Monash University

20/01/2016

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1. Introduction

This Digitisation Plan has been produced as part of Monash University's documentation of its Student Records digitisation process. The plan is required by the Public Records Office of Victoria (PROV) to ensure the University complies with PROV Specifications¹.

The plan defines how student records will be digitised and while it meets the PROV Standards, its primary aim is to inform University staff about the digitisation process.

This plan will define the scope of digitisation activity for student records as well as identify the risks involved in the process. The plan introduces procedures for handling the records pre and post processing as well as recommending scanning parameters. It explains the quality assurance measures taken to ensure the clarity and accuracy of the converted (electronic) records.

2. Digitisation activity plan

2.1 What is to be digitised?

The Monash University Student Files Digitisation Program covers:

- All hardcopy student records imaged and registered into HP Records Manager from January 2016 onwards.
- The plan is for Monash staff to digitise these records at the first point of student contact with any Australian faculty or central administrative units.

While the core student record is held in Callista (the University's electronic student system), the documents on the student file provide supporting evidence for these records. For example, Callista will record a student's final mark for a completed subject. If the student experienced difficulty in completing a subject, then this may have been documented through correspondence between the University and the student. If correspondence of this nature does exist, then it will be on the student file as supporting evidence.

Please note that as at the release of version 3.0, the Monash University Student Files Digitisation Program only refers to and covers the Australian campuses of the university.

Monash University Malaysia campus may also initiate this Digitisation Plan to manage their hardcopy student records in the future. To date they scan and also continue to store hardcopy student records for the required retention period.

¹ Primarily PROV Standard PROS 10/02/S1: Digitisation Specification.

2.2 Why digitise?

A review of student records was undertaken in 2007/08 with a view to standardising student recordkeeping across the Victorian campuses. The review recommended that student files be managed in HP TRIM (now HP Records Manager - Monash University's records management system), which was already used to manage the university's staff files and other central administrative files. The use of HP Records Manager also introduced the potential for managing student files electronically.

These records are to be digitised with the aim of destroying the original hardcopy student documents, so that the electronic student files in HP Records Manager will become Monash University's primary record of these activities.

Digitising hardcopy records provides the following benefits:

- Ability to save physical space, by reducing the retention of paper records from 7 years to 6 months;
- Improved access to a central, authoritative source for users of the digitised records; and
- Provision of a secure electronic storage place for the images, within a proven and reliable recordkeeping system.

2.3 Appraisal analysis

Student records kept on the student file are temporary and the student file is generally disposed of under PROS 02/01 Class 8.1.0 – **Destroy 7 years from date of last enrolment**, that being the longest period required for documents normally kept on the student file.

2.4 Risk analysis

| Nature of Risk | Risk Impact | Likelihood of occurrence | Measures taken to reduce likelihood of occurrence |
|---|-------------|--------------------------|---|
| Authenticity of record will be challenged | Low | Low | This Digitisation Activity Plan, which details the storage/management of converted (electronic) records in HP Records Manager. |
| Incomplete digitisation | Medium | Medium | Ensure quality control measures are in place. Refer to Section 7. |
| The converted record may be lost | Medium | Low | The converted (electronic) record must be registered into HP Records Manager within 24 hours of being scanned. Refer to Section 4.6. |
| Scanning will damage the source record | Low | Low | The source record must be handled with care. |

Overall, the risks to digitising these records are low. The core student record, as noted above, is held in Callista, so these records provide supporting information and are of temporary value. Therefore, the likelihood of their authenticity being challenged is low, as Callista is the source of authentication for key parts of the student record.

However, there are some medium level risks around ensuring that the whole record is digitised (e.g. ensuring both sides of a document are scanned), and that the converted (electronic) record is registered into HP Records Manager in a timely manner (i.e. within 24 hours of being scanned).

3. Digitisation image specifications

| Resolution Required | Type of Image | Bit Depth | Output Format | Colour Management | Compression Algorithms |
|---------------------|--------------------------------|-----------|-----------------------|-------------------|------------------------|
| 200 dpi * | Bi-tonal (ie black and white)* | 1 bit * | PDF multi-page image. | N/A | Unknown |

Exceptions: It may be necessary to increase the dpi to 300 dpi, and/or revert to colour scanning/grey scale if this is required in order to improve the legibility of the image. Also in regards to bit depth - 8 bits can be used for greyscale and 24 bits for colour (where the scanning devices permit the bit depth option to be changed — otherwise the fixed bit-depth settings for greyscale and colour will be used).

4. Digitisation process plan

4.1 Process set up

The digitisation hardware being used for this program mainly consists of standard Monash University standard multi-function devices that can scan to the specifications detailed in Section 3.

All Monash multi-function devices used for scanning have in-built capability to create PDF documents.

4.2 Retrieval of records

No retrieval of records is required for the digitisation process. Hardcopy student file documents are to be digitised at Monash University at the point of first contact with the university.

4.3 Pre-processing of records

The following steps must be taken before the record is digitised:

- Staples or paper clips should be removed before scanning.
- Credit card, debit card or Tax File numbers need to be redacted, as advised in the *Electronic Information Security: Payment Card Industry Data Security Standards (PCI-DSS) Procedures (Australia only)*
<http://www.policy.monash.edu/policy-bank/management/its/payment-card-industry-data-security-standards-pci-dss-procedures.html>

For additional information on the University's data protection procedures refer to:

- *Electronic Information Security Policy*
<http://www.policy.monash.edu/policy-bank/management/its/electronic-information-security-policy.html>
- *Electronic Information Security: Responsibilities, Classifications and Standards Procedures*
<http://www.policy.monash.edu/policy-bank/management/its/electronic-information-security-responsibilities-classifications-standards.html>

No documentation is required for the pre-processing of the records.

4.4 Post-processing of records

If staples were removed from a multi-page hardcopy document before scanning, then the document should be re-stapled after scanning; this assists in the quality control check of the digitisation process.

Records should be boxed in order of scanning. When full, a box should be labelled on the outside with the following details:

- Faculty, School or Department;
- Campus; and
- Date range of the scans (i.e. the date range over which the scanning process was completed) in DD/MM/YYYY format.

The box should then be retained locally in the Faculty, School or Department for a six (6) month period.

Records Management will visit one (1) area from each Faculty on an annual basis (as well as Departments such as Monash Institute of Graduate Research (MIGR)), to sample 5% of hardcopy records onsite to meet Public Record Office Victoria requirements. Records Management will liaise with each area to schedule an appropriate time for the visits to be conducted.

If the area has just completed a six (6) month hardcopy destruction then Records Management will make note and schedule a meeting in the future (within the next 6 month period) when further records have accumulated.

Student records that have been digitised and held for the six (6) month period can then be destroyed via confidential waste bins.

4.5 Capture of metadata

Apart from titling the scanned images according to the agreed university naming conventions for student documents (refer to: <http://www.adm.monash.edu.au/records-archives/records/student-records/titling.html>), no additional metadata is required to be entered at the point of scanning.

4.6 Registration of converted (electronic) records

Once an image has been saved to a secured Monash network drive, it is recommended that documents are **registered into HP Records Manager within 24 hours of being scanned.**

4.7 Reprocessing a source record

Every page of every image, must be checked immediately after scanning, to ensure that all of the content has been captured correctly and that the content is legible. If the scanned image is illegible, the document must be rescanned immediately. If a document is rescanned, then the person doing the scanning must determine whether they need to increase the resolution to 300 dpi and/or change the image to greyscale or colour to ensure legibility.

5. Management of converted (electronic) records plan

5.1 Record system used to manage converted (electronic) records

HP Records Manager is the records management system that is used to manage the converted (electronic) records. Monash University now uses HP Records Manager version 8.1. Please contact the Records Manager for further information about this system.

5.2 Identification of converted (electronic) records

Each converted (electronic) record can be identified by its document title and its file name. Both of these fields are mandatory when registering the converted record into HP Records Manager. The electronic student file has a unique Record Number in HP Records Manager which replicates the student's unique Monash University Student ID Number. The student file title contains the student's surname in capital letters followed by all given names in title case.

5.3 Indexing

The titles of the converted (electronic) records are indexed in HP Records Manager, so individual documents can be searched for by the student's name.

5.4 Security and access control

Scanned student records are held within individual student files in HP Records Manager. All student files are subject to strict access controls. Specific details about the access controls for these files can be obtained from the Records Manager upon request.

All staff who access HP Records Manager are required to undertake training and sign an access and confidentiality form, before they are provided access to the system. Staff must already be an authorised Callista user, before they can apply for access to HP Records Manager.

Records Management and Archives staff can also access the files, in order to provide administrative support where required.

Any staff member who has a Monash student file, are barred from accessing their own file electronically.

5.5 Disposal of the converted (electronic) records

The converted records will be destroyed when their electronic student file in HP Records Manager is destroyed (as per the disposal sentence – refer to Section 2.3).

5.6 Storage reliability

HP Records Manager provides robust and reliable storage for scanned student records.

As implemented at Monash, HP Records Manager's document store is located on the University's Networked Available Storage (NAS). The NAS is mirrored and replicates from the primary to secondary sites in real time. Both storage sites have daily, monthly and annual backups kept in a rotating cycle.

Disaster recovery for HP Records Manager is included in the larger Information Technology Services disaster recovery plan for the whole of the Monash University Clayton campus. HP Records Manager servers are also incorporated into the University's whole of Clayton campus 'random server restoration and data integrity quality assurance' procedure.

6. Management of source records plan

The source records are temporary according to PROS 10/01 Class 1.2.1. Monash University will retain the source records for six (6) months after the records have been digitised.

The source records will then be confidentially destroyed by the business unit creating the records and will be audited by Records Management on an annual basis. Refer to Section 4.4 for further details.

7. Quality control and assurance plan

7.1 Image accuracy

To ensure image accuracy the image:

- Must capture all of the content of the source records; and
- The image must be legible.

Records Management will meet with client groups on an annual basis and perform quality checks of 5% worth of digitised images as part of the quality control process.

Refer to *Appendix A - Quality Control (and Tracking) Spreadsheet Used by Records Management for Boxes of Scanned Student File Documents*, for a further breakdown of what is checked and how this is recorded.

Once scanned, before the documents are registered into HP Records Manager, find the documents and check for quality to ensure the scan is legible and the quality meets the standard.

7.2 Logging and analysis

Records Management staff will log all known errors in the quality control spreadsheet. During the quality check visit, a verbal report will be provided to inform the area of progress and any areas required for improvement.

Records Management will analyse the quality control spreadsheet on an annual basis, in order to detect error trends. Where substantial error patterns are identified, the relevant Monash University area will be contacted by Records and Archives Services, in order to discuss ways in which the area can reduce/eliminate these errors.

8. References

Digitisation Requirements, PROS 11/07 Capture Standard Specification 1, Public Record Office Victoria, Version 1.3, 1 January 2010

Guide to Digitisation Requirements, PROS 11/07 G1 Capture Standard — Digitisation Requirements Guideline 1, Public Record Office Victoria, Version 1.4, 1 January 2010

General Retention and Disposal Authority for Converted Source Records, PROS 10/01, Public Record Office Victoria, Version 2010, 01 January 2010

General Retention and Disposal Authority for Records of Common Administrative Functions, PROS 07/01 VAR 3, Public Record Office Victoria, Version 21 July 2015

Monash University Retention and Disposal Authority (Monash only site available - <http://www.adm.monash.edu.au/records-archives/archives/retention-disposal/rda/index.htm>)

Appendix A: Quality control (and tracking) spreadsheet used by Records Management for boxes of scanned student file documents

Records Management will use a Microsoft Excel workbook to document the quality control check of all boxes of source records received. This workbook provides details of the quality control process that is performed on each box, the results of each quality control check, and details of any significant errors in each box.

The workbook will have a different worksheet for each year, and the workbook will be retained permanently (according to PROS 07/01 Class 9.4.1) as part of the ongoing evidence that Monash University is complying with all requirements for its Student Files Digitisation Program.

The workbook will be utilised in the annual checks conducted with each Faculty, School and Department encompassing a 5% check.

Sample data for 2011 worksheet from scanned student documents quality control workbook:

| Box No. | Faculty / School / Department | Campus | Date range | Date received | Date check started | Date check completed | Destroyed | Were errors found? Yes/No | All errors corrected? Yes/No/NA | Details of errors (examples only) | Staff involved in quality control process |
|---------|-------------------------------|-----------|-------------------------|---------------|--------------------|----------------------|-----------|---------------------------|---------------------------------|---|---|
| 2011-35 | Science faculty | Clayton | 19/11/2010 - 29/01/2011 | 1/2/2011 | 13/2/2011 | 8/3/2011 | 9/9/2011 | Yes | Yes | 4 out of 12 double-sided documents were scanned single-sided. 3 documents were on coloured paper, and the images of all documents were totally black. 7 documents had shaded blocks of printing, and the shaded blocks in the images were totally black, so the writing in the shaded blocks was totally illegible. 13 pages with photocopied images, and all had to be rescanned. | Jane Smith |
| 2011-36 | Arts | Caulfield | 03/07/2010 - 02/09/2010 | 11/2/2011 | 12/2/2011 | 20/2/2011 | 31/8/2011 | Yes | Yes | 13 pages had post-its; 5 of these 13 had to be re-scanned to capture all content. 1 registered post docket not scanned. 2 foolscap pages had the bottom part of the page unscanned. | Jane Smith John Jones |