

Information Management Advice 3 Day Batching of Source Records

Introduction

Day batching is the practice of filing the paper originals of scanned records (source records) on the basis of date received or scanned.

When planning and implementing a digitisation project or business processes, quality assurance procedures and guidelines are important to ensure the digitised records meet the requirements of their intended use.

Effective quality assurance is critical in the event the original paper record is lawfully disposed of, as the digitised record becomes the enduring evidence of the business activity, and without strong quality controls this evidence is at risk of being inaccurate, incomplete or illegible.

Category	If the records have been scanned and are..	Then..
A	Pre-1960 records	<ul style="list-style-type: none">• Do not destroy the source record• The disposal of those records should be managed according to the procedures for unscheduled records. Contact us at gisu@education.tas.gov.au or phone 6165 5581.
B	Historical artefacts	<ul style="list-style-type: none">• Do not destroy the source record• Contact us at gisu@education.tas.gov.au or phone 6165 5581.

Category	If the records have been scanned and are..	Then..
C	Required or likely to be required in <ul style="list-style-type: none"> • judicial proceedings • government inquiries or investigations • applications for access under Right to Information • applications for access under other legislation • land rights claims 	<ul style="list-style-type: none"> • Do not destroy the source record • Contact us at gisu@education.tas.gov.au or phone 6165 5581
D	Permanent and Temporary SCHEDULED records NOT included in Categories A, B or C	<ul style="list-style-type: none"> • You may destroy the source record according to the <i>Disposal Schedule for Source Records DA2159</i> • You must retain the reproduction as the official State record
E	UNSCHEDULED records	<ul style="list-style-type: none"> • You must retain the source record as it remains the official State record until you gain authority from the State Archivist for its destruction with a Destruction Authority - see <i>Recordkeeping Advice 10 Disposal of Unscheduled Records</i> • You must retain the reproduction as the official State record

How to Day Batch source records

To ensure that records that need to be retained are not destroyed, some organisations batch source records that have been scanned according to their retention requirement. Examples of this might include batching:

- records for which destruction is permitted – for example, batch records of receipts and payments that can be destroyed after 7 years according to the *Disposal Schedule for Common Administrative*

Functions (DA2157: 05.01.01); or batch ministerials that can be destroyed after 5 years (DA2157: 07.13.02)

- records that may have a change in disposal status - for example, those relating to a contentious issue that is likely to escalate into a legal matter

All records are registered in the recordkeeping system including their location (e.g. batch identifier, shelf location).

Periodically (for example every 3 months), a report is produced from the recordkeeping system and from this those records due for destruction identified. Other records are retained and, if necessary, placed in storage conditions appropriate for longer term retention.

Quality Assurance that must be met to destroy source records

When planning and implementing a digitisation project or business processes, quality assurance procedures are important to ensure the digitised records meet the requirements of their intended use.

Effective quality assurance is critical in the event the original paper record is lawfully disposed of, as the digitised record becomes the enduring evidence of the business activity, and without strong quality controls this evidence is at risk of being inaccurate, incomplete and illegible.

Agencies must put in place trusted systems and processes for the capture and management of digitised records. This includes quality assurance procedures that include:

- The timing of equipment tests and equipment calibration
- Procedures for checking output, such as what proportion of the digital reproductions will be subject to visual inspection and how long the original records need to be retained after digitisation to ensure that quality checking processes can be undertaken
- Procedures for re-imaging if quality standards are not met, and
- Roles and responsibilities for checking and approving output.

Robust quality assurance procedures are important because in the event of evidential challenge, agencies may need to demonstrate in court that trusted systems and processes were working as they should be, on the day the digitised record was created.

If authority has been gained to destroy a source record after it has been scanned, destruction is only permitted where the scanning is done in accordance with *State Records Guideline No. 8, Digitisation and Disposal of Source Records*.

Those conditions include:

- they are not Category A, B or C records.
- digital copies must meet quality assurance criteria that will satisfy the business purposes of all your stakeholders. For example, pencil annotations may need to be captured on the digital copy, or reproductions from the digital copy can be made to the scale you require.
- digital copies must be kept for the authorised retention period that applied to the original record.

For specific guidance regarding technical specifications for digitisation the Tasmanian Archive and Heritage Office endorses Archives New Zealand Digitisation Standard Appendix 5: Recommended Technical Specifications. ¹

The Archives New Zealand Digitisation Standard sets the requirements for records that will eventually be transferred to the Tasmanian Archive and Heritage Office as State Archives, and is recommended for long term temporary records retained within an agency.

Please refer to *Advice 21 Plan before you Scan* for additional information.

Definitions

Digitisation – means the copied, converted, migrated, reproduced or reformatted version of a record.

Historical artefact – means records that are classified as permanent based primarily on their historical research value (eg. records relating to properties listed on a heritage register, building files identified by a Council as having significant architectural or cultural value, records with an intrinsic artistic value, original artworks, proclamations, charters, testimonials, treaties).

Source records – mean documents that have, or will be copied converted or migrated. A source record may be an original record or may itself be a reproduction.

Recommended Reading

State Records Guideline No. 8, Digitisation and Disposal of Source Records

Disposal Schedule for Temporary Value Source Records – DA No. 2159

¹ http://archives.govt.nz/search/apachesolr_search/digitisation%20standard%20appendix%205

Further Advice

For more detailed advice, please contact:

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Acknowledgements

- State Records Authority of New South Wales, Day Boxing Dilemma: Advice for NSW Councils
- Queensland State Archives, Digitisation Disposal Policy Toolkit - Quality Assurance Guidance
- Archives New Zealand, Digitisation Standard Appendix 5: Recommended Technical Specifications

Information Security Classification

This document has been security classified using the Tasmanian Government Information Security classification standard as PUBLIC and will be managed according to the requirements of the Tasmanian Government Information Security Policy.

Document Development History

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Amendments in this Release

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