

Digitisation Project Plan Template

It is a requirement of the *Digitisation of Records Procedure* that a digitisation project plan template be completed for each digitisation project proposal.

The Business unit responsible for the records proposed for digitisation must endeavour to complete all of the fields within this document and submit it to the Manager, Information Management for review and approval before seeking sign off from the Assistant Director, Information Management & Archives and the Head of the responsible Business Unit.

This Digitisation Project Plan is based on the PROV specification for the digitisation of Records and is broken down into 6 individual parts:

- A - Digitisation Activity Plan
- B - Digitisation Image Specification
- C - Digitisation Processing Plan
- D - Management plan for the converted records
- E - Management plan for the source records
- F - Quality Control and assurance plan

TRIM is the RMIT University approved Electronic Document and Records Management System and all digitised records would normally be captured in TRIM. If the proposed digitisation project does not include adding the resultant digitised record to TRIM, please contact the Manager, Information Management before completing this template.

A - Digitisation Activity Plan

Business Area / Function

RMIT Business unit responsible for the records covered by this Digitisation Project

Contact Person

Please provide details of the contact person within the business who has initiated this digitisation project.

Name	<input type="text"/>	Position Title	<input type="text"/>
Email Address	<input type="text"/>	Phone Number	<input type="text"/>

Record Identification

List the records (or collections of records) that are to be converted. By what name are they commonly known? What types of documents are included in the records?

Post or Pre-Action Conversion

Please nominate the type of records covered by this Digitisation Project Plan. If both apply, then select both boxes (refer to definitions to the right of the options)

- | | | |
|--------------------------|------------------------|--|
| <input type="checkbox"/> | Post-Action Conversion | Conversion is carried out after any action has been taken on the record. A typical example of post-action conversion is the digitisation of existing paper-based files. |
| <input type="checkbox"/> | Pre-Action Conversion | Conversion is carried out immediately after the record is received and before any action has been taken on it. An example of pre-action conversion is the digitisation of received inwards correspondence prior to any action being taken. |

Digitisation Project Plan Template

Source Documents

Describe the characteristics and structure of the source documents to be digitised (multiple selections may apply for each Type).

A) Type Documents (Printed) Documents (Handwritten) Photographs (Colour) Photographs (Black & White) Negatives Plans

Other (please specify)

Are sources documents held on files? Yes No

Are there mixed document types on the files? Yes No

B) Size A4 A3 Other (Please specify)

C) Quantity

D) Structure Loose sheets Stapled Single sided Double Sided Post It Notes

Other (Please specify)

If Source Documents are double sided, do both sides need to be scanned? Yes No

E) Information Content

F) Condition Good Condition Poor Condition (describe in field below)

Duration of Digitisation Activity

What is the duration of the conversion activity? If ongoing from Start Date noted below, leave End Date box blank and check Ongoing Activity.

Start Date

End Date

Ongoing Activity

Where the digitisation project incorporates pre-action and post-action conversion, indicate the criteria that will determine the extent of digitisation for the records covered by this digitisation project plan (for example, with Student Records, it might be all currently enrolment students from the start date for the digitisation). Note the criteria in the field below.

Digitisation Project Plan Template

Digitisation Location and Equipment

Nominate where the digitisation will take place (Street Address for external, Building, Level and Room for Internal; Company name and address for an external service provider), who will undertake the digitisation and specify the Brand, Model and functional capabilities of the hardware to be used to perform the digitisation activity (i.e. scanning). If the digitisation activity is to be split according to Post-Action and Pre-Action conversion, provide the above details for each separate location.

Digitisation
Location 1

Digitisation
Location 2

Digitisation
Location 3

Appraisal (To Be Completed by Information Management)

Appraisal of the records must be undertaken by the Information Management. This will determine (i) whether the records are Temporary or Permanent, (ii) the relevant Public Record Office Victoria Retention & Disposal Authority (RDA), (iii) the relevant class in the RDA; (iv) from the RDA the relevant retention period. The two Public Record Office Victoria Retention & Disposal Authorities relevant to RMIT University are:

- PROS 07/01 General Retention and Disposal Authority for Records of Common Administrative Functions
- PROS 02/01 General Retention and Disposal Authority for the Records for Higher and Further Education institutions

PROV Retention and
Disposal Authority

Disposal Status

Disposal Class

Retention Period

Record Description/Title

N.B. If records are sentenced Permanent in a PROV approved RDA the RMU must complete a [PRO Form 43](#)

Purpose and Benefit of Digitisation

Explain why the records are being digitised and the expected benefits to RMIT. Examples might include improved collaboration and accessibility, better security, to preserve the records from deterioration, to free up storage space, to reduce the need for additional storage space, etc.

User Needs and Impacts

Explain the impacts on users of using the converted records, including potential researchers (if relevant). Include both positive and negative impacts.

Digitisation Project Plan Template

Risk Analysis

What risks have been identified with converting the records. An analysis of common risks are noted in the table below. Discuss with Information Management.

Risk Description	Likelihood	Consequence	Inherent Risk	Controls	Residual Risk
A full and accurate record may not result from the digitising process.	<input type="checkbox"/> Possible	<input type="checkbox"/> Major	<input type="checkbox"/> Extreme	Implementation of <i>Quality Control & Assurance Plan</i> as defined in section F .	<input type="checkbox"/> Low
Digitised copies may not be used as the official record of the business.	<input type="checkbox"/> Possible	<input type="checkbox"/> Major	<input type="checkbox"/> Extreme	Implementation of the <i>Management Plan for the Source Records</i> as defined in section E .	<input type="checkbox"/> Low
Digitised copies may be large in size causing a slow response time to view from the desktop.	<input type="checkbox"/> Possible	<input type="checkbox"/> Moderate	<input type="checkbox"/> Moderate	Implementation of <i>Digital Image Specification</i> as defined in section B .	<input type="checkbox"/> Low
Security of digitised copies may be compromised due to the ease in which electronic documents are copied and disseminated.	<input type="checkbox"/> Possible	<input type="checkbox"/> Major	<input type="checkbox"/> Extreme	Implementation of the <i>Management Plan for the Converted Records</i> as defined in section D .	<input type="checkbox"/> Low

Note any other identified risks not noted above in the space below following discussion with Information Management.

Intellectual Property (IP) Analysis

Are there any Intellectual Property (IP) issues with digitising the source records. Examples of IP include copyrights, trademarks, patents, etc. If records originate from RMIT University, IP should not be an issue. If records originate outside of RMIT University, consider who owns the IP in the record and note creator (and therefore IP holder) of the record and any IP rights they may have (for example, photographer owning copyright for photographs produced).

None Identified Yes (if yes, describe in the field below)

Describe any Intellectual Property Issues associated with the records

Format Requirements

Are there any requirements imposed upon RMIT University by legislation, regulation, government policy / directive, agency policy, standard, or written PROV direction to retain the records in a specific format. For example, regulations associated with the *Electronic Transactions Act 2000* specify that wills, codicils, and other testamentary instruments; and documents must be physically served. If more information is required contact the Information Management.

None Identified Yes (if yes, describe in the field below)

Describe Format Requirements associated with the records

Digitisation Project Plan Template

Artefact Value

Do the physical records have any value as artefacts? Examples include: original works of art; records of international, national, or cultural significance; original proclamations, charters, testimonials and treaties and agreements; records with a physical element attesting to their authenticity or evidential value (e.g. a corporate seal or watermark). If more information is required contact the Information Management.

- None Identified Yes (if yes, describe in the field below)

Description of Format Requirements associated with the records

Loan Check

If some of the records proposed for digitisation are on loan to another business unit, are held in secondary storage or if there are consignments of the records at RMIT Archives, will they be included in the digitisation project? Discuss what this means with the Information Management and/or RMIT Archives

- No Yes (if yes, consult with the Information Management / RMIT Archives on how to proceed)

B - Digital Image Specification

Image Output

Tick one or more of the boxes to represent the record types to be digitised and apply the minimum image requirements directly below the selected option.

- Non Colour Documents

Resolution = 200 dpi
Type of Image = Bi-Tonal
Bit Depth = 1 bit
Output Format = PDF (Temporary Records) or
PDF/A (Permanent Records)

- Colour Documents (or documents where colour is important)

Resolution = 200 dpi
Type of Image = Colour
Bit Depth = 24 bit
Output Format = PDF (Temporary Records) or
PDF/A (Permanent Records)

- Black and White Photographs

Resolution = 600 dpi
Type of Image = Greyscales
Bit Depth = 8 bit
Output Format = TIFF

- Colour Photographs

Resolution = 600 dpi
Type of Image = Colour
Bit Depth = 24 bit
Output Format = TIFF

- Black and White Negatives

Resolution = 2400 dpi
Type of Image = Greyscales
Bit Depth = 8 bit
Output Format = TIFF

- Colour Negatives

Resolution = 2400 dpi
Type of Image = Colour
Bit Depth = 24 bit
Output Format = TIFF

Digitisation Project Plan Template

C - Digitisation Processing Plan

Process Setup

Scanner(s)
Used

Are there any specific software requirements (e.g. image processing software)?

 No Yes

If yes,
please
describe

Scanner Settings (N.B. values for the fields below should mimic the Image Output option selected in the Record Media in question 5 or question 16)

Scanning Colour

Single / Double Sided

Original type

Output File format

Resolution

Original size

Retrieval of the Records

Where are the source records currently stored and how will they be transferred to the scanning site?

Preparation of Records for Scanning

What physical preparation work needs to take place prior to scanning (select relevant options from the list below)?

Removal of documents from
files

Removal of staples and clips from
documents

Flattening of pages

Take post it notes off documents where they obscure document content but ensuring that they are scanned

Other (please
describe)

Digitisation Project Plan Template

Scanning Records

What special handling measures are required (for example, documents with attached notes, annotations on back, different sized records scanned together, etc)?

What scanning method is be employed?

Where will the output Files be stored prior to capture in TRIM?

If other please specify

What File Naming convention will be applied to the output files?

What, if any, post processing of the digital images is to take place?

What post processing of the source records is to take place?

What information about the records needs to be captured?

Return of the Source Records after Digitisation

How will you ensure that the source records are returned to the state they were in prior to scanning and accessible post digitisation?

Digitisation Project Plan Template

D - Management Plan for the Converted Records

This section identifies describes the requirements for continuing management of the converted record. The purpose of the management plan is to describe the mechanisms used to ensure that the converted record remains accessible for as long as it is required. TRIM (current version 7.1) is the RMIT University approved Electronic Document and Records Management System and has Public Record Office Victoria (PROV) endorsement as apart of the Victorian Electronic Records Standard (VERS). TRIM is to be used to manage all converted records resulting from digitisation projects. As a result, the questions below are focussed on how TRIM will be configured and used to ensure the Authenticity, Reliability, Integrity, Accessibility and Useability of the converted records.

Responsibility

Who is responsible for the management of the converted record (i.e. the digitised record)?

About the Converted Record

Where will the converted record be stored prior to being entered into TRIM?

Are any new classification term(s) needed in TRIM?

 No Yes

If Yes. What term(s) are required?

Will the converted record be indexed to facilitate full text seaches? (N.B. OCR software is required for this to occur)

 No Yes

Disposal

Is the converted record sentenced as Permanent or Temporary in a PROV approved RDA?

 Temporary Permanent

If the converted record is permanent, describe how the record will be managed over time

If the converted record is temporary, how long should it be retained after conversion?

What records will be maintained for the disposal process?

Security and Access Control

Who will have access to the converted record?

Describe any dissemination, access and security issues associated with the record

Digitisation Project Plan Template

E - Management Plan for the Source Record

Is the source record sentenced as Permanent or Temporary in a PROV approved RDA?

Temporary

Permanent

If the source record is permanent, describe how the record will be managed over time

If the source record is temporary, how long should it be retained after conversion?

Describe the system to be used to manage the source record until it's disposal.

What records will be maintained for the disposal process?

F - Quality Control and Assurance Plan

Image and Record Accuracy

Reminder: Unless otherwise agreed all digitised records will be entered into TRIM

How will staff will be trained in the scanning process?

Describe the proposed scanning process and how the digitised records will be checked for quality.

How frequently will the digitised records be checked for Quality during the scanning process?

After each batch is scanned

Once a day

Once a week

Once a month

Other (please specify)

Digitisation Project Plan Template

What criteria will be used to check image quality (check all options that apply)?

- | | |
|--|---|
| <input type="checkbox"/> Comparison with original | <input type="checkbox"/> Checking completeness - all documents in batch are scanned |
| <input type="checkbox"/> Reading converted record to ensure that it is legible | <input type="checkbox"/> Checking completeness - all pages of a document a scanned |
| <input type="checkbox"/> Ensuring any annotations to the source record can be viewed | <input type="checkbox"/> Checking orientation of digitised record |
| <input type="checkbox"/> Checking that file format is correct | <input type="checkbox"/> Checking metadata |
| <input type="checkbox"/> Other - please specify | <div style="border: 1px solid black; height: 20px; width: 100%;"></div> |

Describe what will happen if any problems are identified

Storage Reliability (to be completed where records are not entered into TRIM)

How frequently will the backup of digitised images be checked for any problems?

<input type="checkbox"/> After each batch is scanned	<input type="checkbox"/> Once a week	<input type="checkbox"/> Once a month
<input type="checkbox"/> As per ITS backup procedures	<input type="checkbox"/> Other - please specify	

How frequently will the restore functionality of digitised images be tested for any problems?

<input type="checkbox"/> After each batch is scanned	<input type="checkbox"/> Once a week	<input type="checkbox"/> Once a month
<input type="checkbox"/> As per ITS backup procedures	<input type="checkbox"/> Other - please specify	

Quality Control Processes

Describe what steps will be taken if a quality failure is identified

Describe what steps will be taken to ensure that quality failures are not repeated.

REMINDER: It is the responsibility of the Work Group managing the Digitisation Project to maintain a log of errors detected and error rectifications for the duration of the Project.

N.B. If problems arise during or after the digitisation process the Information Management should be advised.

Assistant Director, Information Mgmt and Archives: Head of Business Unit:

Signed: Date: ... / ... / Signed: Date: ... / ... /