TAHO
Tasmanian Archive + Heritage Office

Application to dispose of Permanent source records

This form is for agencies intending to destroy Permanent source records that have been digitised.

Completion of this application will assist us in determining if the digitised copies will be of sufficient quality for transfer as State Archives. If insufficient evidence is provided in this application, the Permanent source records **MUST NOT** be destroyed.

Please email this completed form and attachments to gisu@education.tas.gov.au.

*If the forms are forwarded from the email address of the person who is authorised to act on matters of disposal we will accept this as their authorisation, or 'digital signature.'

I hereby apply to the State Archivist to dispose of the records described herein. I also certify that I am authorised to act for this Agency in matters relating to the disposal of the Agency's records. I understand that meeting the requirements in *Guideline 8 - Digitisation and Disposal of Source Records* is a pre-condition for the agency implementing the General Disposal Schedule for Source Records (DA2159) for Permanent value records.

Signature of Certifying Officer: **Date:**

Exclusion Checklist	Action
Were the records created before 1960?	The disposal of those records should be managed according to the procedures for unscheduled records (see *Advice 10: Disposal of Unscheduled Records*).
Are the records covered under a current approved retention and disposal schedule?	If not, disposal of those records should be managed according to the procedures for unscheduled records (see *Advice 10: Disposal of Unscheduled Records*).
Are the records 'born digital'?	Refer to *Guideline 24 - Migrating Digital Records* for born digital records being converted to a new format or migrated to a new system.
Are the records likely to be historical artefacts (e.g. records relating to properties listed on a heritage register, original artworks, proclamations, charters, testimonials or treaties)?	Please contact TAHO for further assistance in identifying and managing these records.

Exclusion Checklist	Action
Are the records required in evidence for a government inquiry or investigation, Royal Commission, land rights claim or for legal proceedings?	Do not dispose of the source records. Please contact TAHO for further advice.
Are the records related to current or pending applications under Right to Information or Personal Information Protection and other legislation?	Do not dispose of the source records. Please contact TAHO for further advice.
Are they audio and/or video records?	Do not dispose of the source records. Contact TAHO for further advice.
Are the Source records to be retained as the official record in the agency after digitisation (i.e. the digitised copy is purely for access purposes)?	Do not submit this application. Contact TAHO for further assistance in identifying if the source records should immediately be transferred as State Archives.

Authorised Officer Name:	Position:
Name of Agency:	**Division/Business Unit:**
Date:	**Contact email:**

Name of Creating Agency (if different to current Agency who has custody):

Brief Description of the scope and purpose of the digitisation project, and risk assessments:
(See *Advice 21 - Plan before you scan* for more about assessing digitisation risks.)

Digitisation requirements for each records series is attached: *There is some blue example text included in this template for guidance.* (See page 3 of this Application form, which must be completed for each record series/ separate disposal class)	☐ **YES**
Documented Quality Control and Assurance processes are attached: *There is some blue example text included in this template for guidance.* (See Section 4.3 of *Guideline 8 - Digitisation and Disposal of Source records* for further information about this requirement)	☐ **YES**

Digitisation requirements

Complete this sheet for each record series (separate disposal class)[1]: [Delete blue example text].

Name of Record Series:	Examples:
Brief description of the records:	Documents relating to significant donations and bequests to the State Library of Tasmania, official zone maps of City of Hobart, etc.
Date range of the records:	January 1985 to June 1993
Format:	file/volume/plan/loose sheets/photograph
Quantity:	2 boxes of loose sheets/18 photographs/12 plans
File level / aggregated metadata:	
Retention and Disposal Schedule and class Reference:	DA 2281 12.09.01 PERMANENT
Information security:	Security classification (e.g. X-in-confidence) and any caveats (if not 'public' or 'unclassified')
Rights statement:	Copyright ownership or other policy governing use and access to the records.
Record level metadata	**Provide more information about each metadata field below:**
Unique Identifiers	ID is automatically assigned by TRIM on registration
Title/name	Document naming conventions applied to record series in EDRMS
Business purpose/ process/ activity	This is captured in the folder or document title, e.g. 'Land use and Planning - Zoning - Zone maps - [Free text title]'
File format	Adobe PDF/A - automatically assigned by TRIM on registration
File size (extent)	automatically populated by TRIM on registration
Responsible agent/creator	State Library of Tasmania, Hobart City Council, etc.
Date of creation	Default creation date is defined by system, this is overwritten by registration officer. End dates are applied to each digitised record by system.
Registration Date/time	Automatically date/time-stamped by system
Responsible agent/registration	Automatically assigned by TRIM on registration
Resolution:	e.g. 300 dpi
Image type:	bi-tonal/greyscale/colour
Bit-depth:	1 bit/8 bit/24 bit
Colour management:	If applicable - embedded ICC Colour profile
Output format:	PDF/A
Compression algorithm:	lossless
Image manipulation:	Standardised de-speckling, de-skewing predetermined in scanning profile

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[1] Further information about these requirements can be found in *Guideline 8 - Digitisation and Disposal of Source Records*, and the Digitisation Toolkit.

Example of Quality Control and Assurance documentation:

[Delete blue example text]

Image accuracy

The quality of images is assessed during scanning against a documented agency standard. Each image must:

- Capture all of the content of the source records, including notes in margins, on both sides, etc.
- Be legible, including hand-written annotations.
- Be in correct order and alignment when compared to the original source document, ensuring all pages are successfully scanned (no misfeeds, missing pages, etc).

The following measures are taken to ensure image accuracy:

- The scanner operator completed a ½ day training course conducted by the software provider
- Several tests were conducted to ensure image quality
- Scanning equipment is routinely checked and maintained every morning, and calibrated regularly
- The scanner operator completes a weekly batch scan spreadsheet that includes the number of documents that have been scanned
- The scanner operator is required to visually check each scanned image against the original and date stamp each image
- Unique identifiers are applied to each record (note: a record has multiple pages) - if there are missing numbers, this indicates an error in the process
- The Records Management Unit samples 100% of the scanned images as part of registration processes

Record accuracy

Records accuracy is monitored on registration into TRIM. Each record must:

- have all pages of the record captured, and registered correctly into a recordkeeping system
- contain metadata that is error free, and correctly captured at both record and file level

The following measures are taken to ensure records accuracy:

- The Records Officer, trained in the use of TRIM, is responsible for all records registration
- The scanned images are visually compared to the source record at the time the records are registered by the Records Officer
- TRIM is configured so that the mandatory metadata in *TAHO Guideline 8* must be applied to the record at the time of registration
- The weekly batch scan spread-sheet is matched against the system audit log
- A representative sample is selected at random by the Archiving Officer, who checks the digitised record with the source record for inconsistencies. If the Archiving Officer is satisfied that the records comply with quality assurance, this is documented in a Compliance Declaration Form.
- TRIM is configured to provide regular reports of registration activity and flag inconsistencies, e.g. information security classification irregularities

Storage reliability

The records are stored in TRIM which is managed as a key agency system. TRIM is capable of retaining the records until they are required to be exported for transfer to TAHO as State archives.

The TRIM document store is located on the agency's network. The network is mirrored and replicates from the primary to secondary sites in real time. Both storage sites have daily incremental backups, full weekly back-ups and annual backups kept in a rotating cycle.

Disaster recovery for TRIM is included in the Information Technology Services disaster recovery plan for the whole of agency. TRIM servers are incorporated into agency IT server restoration and data integrity quality assurance procedures.

Quality failure processes

- If a quality failure is identified during the scanning process, the source record will be retrieved from storage and re-scanned.
- Any quality failures in the process of registering the digitised records will be flagged in the audit logs and investigated within 5 working days.

Logging and analysis

- Scanned images are given unique identifiers and numbers of images scanned is recorded in a weekly batch scan spread-sheet. This is also used to log all known scan errors. This quality control spread-sheet is used for analysis of error trends.
- TRIM produces reports that are analysed by the Records Manager monthly to detect systematic registration errors.

Further Reading

Guideline 8 - Digitisation and Disposal of Source Records

Advice 21 - Plan before you scan

Advice 60 - Applying Risk Management Processes

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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1.0	10-04-2015	Samara McIlroy	Initial Release	All

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