

DIGITISATION POLICY

PURPOSE

The Shire of Quairading Medical Practice has commenced a Digital Transformation and is making a progressive shift towards fully digital operations and will where possible, receive or create all documents in born digital format only.

All (in the first instance the Medical Practice ONLY will implement Digitisation of incoming physical documents) hard copy/physical documents will be digitised according to the contents of the Shire's Digitisation Procedures Manual.

Annexure 1 contains the meanings of terms used in the Policy which may be unfamiliar to some staff in the Shire.

POLICY

1. Policy Requirements

The Shire has a digitisation framework to govern all scanning/digitising, and electronic capture of physical documents created or received by the Shire and to facilitate the shift towards a fully digital operating environment.

A digitisation framework has been developed in accordance with the legislative requirements and digitisation specification outlined in the General Disposal Authority (GDA) for Source Records and in line with international best practice standards. The following are a list of the requirements which govern how digitisation will take place in the Shire:

- a. The Shire has an approved digitisation procedures manual used for the scanning/digitising of physical documents created or received by the Shire:
- b. Physical source documents created or received by the Shire will be:
 - i. Processed and correctly scanned (digitised) according to the Shire's Digitisation Procedures,
 - ii. Delivered to addressees in digital/electronic format only, and
 - iii. Registered into a system with recordkeeping capabilities which meet the requirements of - ISO 16175: Principles and Functional Requirements for Records in Electronic Office Environments
 - ISO 16175:2 Guidelines and functional requirements for digital records management systems, and or
 - ISO 16175:3 Guidelines and functional requirements for records in business systems*.

- iv. To reduce the requirement for scanning of physical documents, where documents can or are received or created by the business in digital format, these records will remain in their digital format. They will therefore be edited, captured, managed, and shared in their electronic format (born digital format).
- v. Incoming physical documents will not be distributed for action unless a requirement for use of the physical record is identified through the digitisation risk assessment as being critical to the business.
- vi. Any digitisation undertaken anywhere within the Shire or by its commercial service providers must be undertaken in accordance with this Policy and the contents of the Digitisation Procedures Manual.

Physical source documents will ONLY be destroyed after scanning (digitising) according to the contents of the Digitisation Procedures Manual.

- c. Programs implemented by any business unit, for scanning and disposal of physical source documents related to other business processes (external to the incoming mail process), will be developed in accordance with this Policy.
- d. Any printed documents produced from the 'Digital' document and already captured within a system with recordkeeping capabilities such as outlined above (ISO 16175 (2 and 3)) will be considered a duplicate copy and disposed of accordingly.
- e. A disposal program will be established for the boxing and legitimate destruction of source documents.

2. Responsibilities

All staff, employees and contractors who digitise documents in the conduct of their role for the Shire are responsible for adhering to the requirements outlined in this Policy.

All staff, employees and contractors who create or receive documents in electronic format will capture and manage them within 1Records or other business system meeting the requirements of ISO 16175:3 and use and share those records in electronic format (born digital format) only.

The Executive Manager of Corporate Services is responsible for coordinating the implementation of the Shire digitisation framework.

The Executive Manager of Corporate Services is responsible for implementing a digitisation program for the scanning and disposal of source documents which meets compliance requirements.

Business units implementing scanning for a specific business processes are responsible for ensuring their scanning processes uses and adheres to the Shire digitisation framework.

Executive Managers and the Executive Officer are responsible for promoting the use of electronic records and the reduction of physical records creation.

GUIDELINES

Authorities – Legislation or Standards

Electronic Transactions Act 2011

Evidence Act 1906

State Records Commission – Standard 8 – Digital Recordkeeping (2008)

State Records Office – Guideline for Management of Digital Records (2009)

General Disposal Authority (GDA) Source Records

ISO 16175: Principles and Functional Requirements for Records in Electronic Office Environments

AS NZS ISO 13028:2012 – Information and documentation – Implementation guidelines for digitisation of records

Policy/Procedures

Recordkeeping Policy and Procedures Manual

Digitisation Policy and Procedures Manual

Disposal Policy and Procedures Manual

STATUTORY ENVIRONMENT

Electronic Transactions Act 2011

Evidence Act 1906

Record of Policy Review					
Version	Author	Council Adoption	Resolution	Reason for Review	Review Date
01	Graeme Fardon	25 March 2021	144-20/21	New Policy	

ANNEXURE 1 - MEANING OF TERMS USED IN THE POLICY

In the area of Information and Records Management, terms are often used interchangeably, therefore a simple list of the most frequently used of those terms is listed below with their meanings to help reduce any confusion in the use and application of these terms:

- a. Scanning, Digitising and Digitisation – these all have the same meaning in this policy – this is the process for converting a paper or physical document into a digital or electronic format.
- b. Source Documents, Source Records, Hard Copy Documents, Physical Documents and Paper Documents – these all have the same meaning in this report, and they all relate to a document received or created by the organisation in physical or paper format.
- c. Scanned Reproduction, Scanned Image, Reproduction/s or Digitised documents, these all have the same meaning in this report – these are the outputs after the source record has been scanned, that is converted into digital or electronic format.
- d. Born Digital Documents, Digital Documents and Electronic Documents – these all have the same meaning in this report, and all relate to documents that are created by digital or electronic media, such as produced via Microsoft Word, Excel PowerPoint or CAD Drawings etcetera.
- e. Records, Documents, Business Evidence, and Evidence of Business Activities - these all have the same meaning in this report, and all relate to - Information created or received and maintained as evidence and as an asset by the organisation or person, in pursuit of legal obligations or in the transaction of business.¹

What is a Source document?

The original document in physical format that has been scanned to convert the source document into a digital format.

What are Digital Documents?

Records created, communicated, and/or maintained by means of electronic or computer technology, including both born-digital records and records that have been digitised.

Digital records (i.e. captured electronically) kept in digital/electronic format as evidence of the organisation's business activity; these records may be born digital or converted to digital format.

What is a Digitised record?

The digital version of a record, such as the digital image produced by scanning a source record.

What is Digitisation?

The means of converting physical or non-digital records into digital format, such as scanning physical paper records to create a digital reproduction.

¹ ISO 15489 (2016) *Information and Document Management – Records Management – Concepts and Principles – Part 1* – SAI Global Geneva: Switzerland.

What is a Born Digital document?

The documents or records that are created in digital format from inception, such as word-processed documents, spreadsheets, or digital photographs.

What is a Physical document?

A document created or received by the Shire in paper, photographic or in another hard copy format.

What is a Record?

Information created, received, and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business.

What is Evidence?

Physical or digital records containing an audit trail providing documented proof establishing facts or truth of statements. This includes documenting a business transaction where a transaction is the smallest unit of a work process consisting of an exchange between two or more participants or systems. (Note - Audit trails provide sequential proof of a business transaction that is inviolate and complete when shown to have been created in the normal course of business activity). This definition is not limited to the legal sense of the term).

What is Best Evidence?

Amendments to the Evidence Act 1906 in S73A Reproductions admissible (best evidence rule modified) states: (1) A document that accurately reproduces the contents of another document is admissible in evidence before a court in the same circumstances, and for the same purposes, as that other document, whether or not that other document still exists.

What is an Authentic Record?

An authentic record is one that can be proven to:

- a. Be what it purports to be
- b. Has been created or sent by the agent who created or sent it; and
- c. Has been created or sent when indicated
- d. Business rules, processes, policies and procedures that control the creation, capture and management of records should be implemented and documented to prove the authenticity of records.

What is Digital Transformation or Transition?

Digital Transformation is the profound and accelerating **transformation** of business activities, processes, competencies, and models to fully leverage the changes and opportunities of **digital** technologies and their impact across society in a strategic and prioritized way.

Digital Transition is where organisations progressively move away from a predominately paper-based information and records management environment towards fully digital records and information management for efficiency purposes and other benefits.

Depending on your current situation, digital transition may require your organisation to:

- a. commit to digital information management practices by discouraging the creation and use of paper for retention purposes

- b. review work processes and information flows to determine where paper-based practices can be replaced by digital practices
- c. limit the creation of paper-based information to that which must be kept and managed as paper, for example, information with security or legislative requirements that can only be met in paper format
- d. implement measures to scan incoming paper information where it will provide efficiencies or other benefits
- e. (when acquiring business systems) consider how the records will be managed for as long as they are needed. Give preference to those systems that effectively support records management and comply with the international standard ISO 16175 Principles and Functional Requirements for Records in Electronic Office Environments. [12]

What Comprises a Digital Framework?

Document 1 - Digitisation Policy – Going Digital,

Document 2 – Digitisation Risk Assessment (DRA),

Document 3 – Digitisation Procedure Manual and its Attachments, and

What is “Information governance”?

This is an approach to managing information assets across an entire organisation to support its business outcomes. It involves having frameworks, policies, processes, standards, roles and controls in place to meet regulatory, legal, risk and operational requirements. An example of information governance requirements is available at -

<https://www.vic.gov.au/sites/default/files/2019-07/IM-STD-03-Information-Management-Governance-Standard.pdf>

Information Governance is the multi-disciplinary enterprise accountability framework that ensures the appropriate behaviour in the valuation of information and the definition of the roles, policies, processes, and metrics required to manage the information lifecycle, including defensible disposition.

All too often, we see the terms “Information Governance” and “Records and Information Management” used synonymously. While the records and information management function is a part of Information Governance, other critical components need to be considered equally.

Retrieved from <https://www.ironmountain.ca/en/resources/whitepapers/a/a-practical-guide-to-information-governance> in April 2020.