1. Statement

This standard describes the defensible process upon which digitisation disposal may be undertaken within the Department of Health (the Department). It identifies requirements to be met before, during and after digitisation to ensure that digital records are fit-for-purpose and that eligible source records can be destroyed.

Digitisation is the process of converting a physical record to a digital representation by means of scanning or digital photography, with the result being the creation of a digital copy of the original 'source' record. Digitisation Disposal includes the additional step of disposing of the source record after digitisation such that the digital copy becomes the only copy of the record.

Digitising records includes benefits such as increased accessibility, and reduced storage and processing costs. However, it also introduces risks such as accidental deletion, corruption, and poor-quality digitisation resulting in records that are not fit-for-purpose. To mitigate these risks the Chief Executive (or an authorised delegate) must approve the agency's defensible process (this standard).

This standard is part of the Corporate Records Management Policy Framework which exists to ensure records are made, kept, and where possible, disposed appropriately.

2. Scope

This standard applies to all employees, contractors and consultants within the Department of Health divisions and business units.

It applies to:

- corporate records – it does not include clinical records.
- all formats (physical and digital) regardless of the system in which they are maintained.

This standard may be adopted, or re-branded, for use by Hospital and Health Services (HHS) or statutory bodies.

3. Requirements

3.1. Access records for eligibility

Retention of records is governed by the Public Records Act 2002 and policies, standards and guidelines made by the State Archivist. Not all records are eligible for early disposal of original "source records" after digitisation. Both of the following requirements must be met for disposal of source records:

3.1.1. The records must not fall under one of the excluded categories:

- Records of intrinsic value
- Records required for legal purposes
- Records subject to a disposal freeze
- Migrated records
- Born digital records

3.1.2. The records must hold a temporary status under a current disposal authorisation issued by the State Archivist.

Refer to **Appendix 1 – Eligibility Assessment** to help determine the eligibility of original 'source' records for disposal after digitisation.

3.2. Assess records for risk

Eligible records need to be risk assessed to determine if there is any other reason or circumstances upon which the original 'source' record should be retained after digitisation.

3.2.1. The records must be assessed for high risk.

3.2.2. High risk records must be approved by the relevant Data Custodian prior to disposal of the original source record.

3.2.3. Original source records likely to become permanent in the future must not be disposed.

Refer to **Appendix 2 – Risk Assessment** to help identify high risk records that require additional approval for disposal after digitisation.

3.3. Digitisation

Technical standards need to be applied during digitisation to ensure the digitised records are adequate for the purpose for which they are kept. This includes:

3.3.1 The records must be digitised using appropriate technical specifications based on the content and the type of document:

Refer to **Appendix 3 – Digitisation** for more information on the technical requirements for digitisation.

3.4. Quality Assurance

Quality assurance needs to be conducted to ensure the quality and completeness of the digitised records. This includes:

3.4.1 Digitised records must be quality checked to ensure the digital record is a complete and fit-for-purpose rendition of the original paper record.

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3.4.2   Frequency of quality checks must be maintained.

Refer to **Appendix 4 – Quality Assurance** to determine the digitisation quality assurance requirements.

3.5.   Capture

Capture is the act of saving a record, including appropriate recordkeeping metadata, into an approved recordkeeping system or approved business system.

3.5.1.   Digitised records must be captured as soon as practicable into an approved recordkeeping system or an approved business system in accordance with the Corporate Records Management Policy Framework.

3.5.2.   Capture must include the following additional digitisation metadata:
- Date of digitisation
- Equipment used for digitisation
- Action Officer

Recordkeeping and digitisation metadata may be recorded during the digitisation of the original source record using **Appendix 5 – Record Cover Sheet** (or similar tool). This will assist with the capture/registration of the record at a later time.

3.6.   Disposal

Disposal is the act of destroying records. In this standard, disposal is limited to the destruction of original source records after a fit-for-purpose digital copy has been created and captured.

3.6.1   The disposal of original source records after digitisation must not occur prior to the completion of quality assurance checks and capture into an approved recordkeeping system or approved business system.

3.6.2   The disposal of original source records should occur within three (3) months of digitisation.

3.6.3   The disposal of high risk original source records after digitisation must be authorised by the relevant Data Custodian to ensure there is no ongoing business, legal or other requirement to retain the original paper record.

Refer to **Appendix 6 – Destruction Approval for High Risk Records** to authorise the digitisation and subsequent disposal of original paper records that are deemed

3.6.4   The disposal method of original paper records after digitisation must be commensurate with the information security classification of the records in accordance with the Queensland Health Information Security Policy Framework.

3.6.5   Original paper records must be disposed of in accordance with the General Retention and Disposal Schedule (Disposal Authority 2074 – Physical Source Records).

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4. Legislation

4.1 Queensland Government Legislation:

- *Electronic Transactions (Queensland) Act 2001*
- *Evidence Act 1977*
- *Financial Accountability Act 2009*
- *Financial and Performance Management Standard 2019*
- *Hospital and Health Boards Act 2011*
- *Information Privacy Act 2009*
- *Public Health Act 2005*
- *Public Records Act 2002*
- *Public Service Act 2008*
- *Right to Information Act 2009*

4.2 Queensland Government Policies and Standards:

- Information Access and Use Policy (IS33)
- Information Asset Custodianship Policy (IS44)
- Information Security Policy (IS18:2018)
    - Queensland Government Information Security Classification Framework
- Queensland Recordkeeping Metadata Standard and Guideline
- Records Governance Policy
    - Records Governance Policy – Implementation Guideline

5. Supporting documents

5.1 Corporate Records Management Policy Framework:

- Corporate Records Management Policy
- Corporate Records Roles and Responsibilities Standard
- Creation of Corporate Records Standard
- Use of Corporate Records Standard
- Digitisation Disposal of Corporate Records Standard (this document)
- Disposal of Corporate Records Standard
- Identification of Corporate Records Guideline
- Data Entry and Naming of Corporate Records Guideline
- Disposal of Corporate Records Guideline

5.2 Other Related Documents:

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- Code of Conduct for the Queensland Public Service
- Data and Application Custodianship Policy
  - Data and Application Custodianship Standard
  - Data and Application Custodianship Roles and Responsibilities
- Information Security Policy
  - Information Security Standard
  - Information Security Roles and Responsibilities Standard
  - ICT Physical Access Security Standard
- Instrument of Delegation for the *Public Records Act 2002*

6. Definitions

Term	Definition
Action Officer	The individual responsible for the event
Application Custodian	A position designated with overall accountability and responsibility for decision making in relation to the ongoing development, management, compliance, care and maintenance of an application to support business needs. See also: *Data Custodian*; *Approved Business System*
Approved Business System	An approved business system (for the purpose of recordkeeping) is a system that has been assigned a Data Custodian and/or Application Custodian in accordance with the Data and Application Custodianship Policy. Custodians are responsible for understanding, managing and controlling risks associated with applications and the collections of data held within these applications. They are also responsible for ensuring that legal, regulatory, policy, standards and other business requirements of the application continue to be met. See also: *Application Custodian*; *Data Custodian*
Approved Recordkeeping System	An approved recordkeeping system refers to the Department's electronic Document and Records Management System (eDRMS) or legacy Records Management System, RecFind.
Capture	A deliberate action which results in the registration of a record into a recordkeeping system. For certain business activities, this action may be designed into electronic systems so that the capture of records is concurrent with the creation of records.
Chief Executive	The Executive Officer means the Director-General, Queensland Health, who has ownership of all Queensland Health records, and is responsible for records in the custody of the Department of Health. The Chief Executives of the Hospital and Health Services (HHSs) are responsible for the custody and disposal of records in their HHS.
Clinical Records	A collection of data and information gathered or generated to record the clinical care and health status of an individual or group. Also referred to as a health record, medical record or healthcare record. Refer Clinical Records Management Policy (QH-POL-280:2014). See also: *Corporate Records*
Corporate Records	Records that provide evidence of administrative and non-clinical functions of the Department (e.g. executive correspondence, finance, human resource, legal, research, scientific, cancer screening etc.).

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Term	Definition
Corporate Records Management	The application of efficient and systematic controls for the creation, receipt, maintenance, use and disposal of Corporate Records.
Current Retention and Disposal Schedule	A current Retention and Disposal Schedule is one that has been approved by the State Archives and has not been superseded by another Retention and Disposal Schedule. At the time of disposal, records must be sentenced under a current Retention and Disposal Schedule.
Data Custodian	A position designated with overall accountability and responsibility for decision making in relation to the data set, data collection and / or application allocated and the ongoing capture, compliance, development, management, care and maintenance of data to support business needs. See also: *Application Custodian*; *Approved Business System*
Digital Records	Records created, communicated and/or maintained by means of electronic or computer technology, including both 'born digital' records and records that have been digitised. See also: *Physical Records*
Digitisation	The creation of digital images from paper documents by such means as scanning or digital photography.
Digitisation Disposal	The disposal of paper records after they have been digitised in accordance with the minimum requirements of the QSA Guideline – Dispose of Source Records.
Digitised	A digital version of material that originated in a physical or analogue state.
Digitised Records	Digital images, created through the digitisation of physical records, which are then managed and used as official records of business activity in accordance with Records Governance Policy.

Term	Definition

Disposal	In this standard, disposal has the same meaning as 'disposal' in the *Public Records Act 2002*, namely:
	
	disposal, of a record, includes––
	    (a) destroying, or damaging the records, or part of it; or
	    (b) abandoning, transferring, donating, giving away or selling the record, or part of it.
	
	Records disposal includes the following activities:
	
	• **Destroy:** complete and irreversible physical erasure of the record, ensuring it cannot be reconstituted, recreated or reconstructed
	
	• **Transfer:** permanent transfer to another public authority because of a machinery-of-government change
	
	• **Sell:** records cannot be sold, except if an agency or function is sold or privatised (i.e. under a machinery-of-government change)
	
	• **Donate:** giving records to a museum or historical society must be authorised by the State Archivist
	
	• **Loss or damage:** because of a disaster or other circumstances beyond your agency's control, such as contamination
	
	• **Abandon:** neglect, which can lead to loss or damage to records, is a form of disposal
	
	• **Amend:** unauthorised changing of a record by addition, deletion, revision or obliteration of information, particularly if it modifies the meaning or intent of the record's content or renders it unusable.

Disposal Freeze	An authority that temporarily freezes the disposal of public records relating to a specific topic or event, including records that have a temporary disposal status under an approved Retention and Disposal Schedule. Generally these freezes relate to a particular issue that has created significant or substantial public interest. Original paper records to which a disposal freeze applies must not be destroyed while the freeze is in place.

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Term	Definition
Disposal Status	Indicates the archival value of the records. Records may either be: • Permanent - meaning records should be transferred to QSA once they are no longer required for business purposes • Agency Permanent – meaning the records are not required by QSA once they are no longer required for business purposes. They are to be retained permanently by the agency • Temporary - meaning that the records may be disposed of once the minimum period for which the records must be retained has expired and the records are not required for any further legal or business purpose.
Document	Recorded information or an object which can be treated as a unit. Some documents are records because they have been part of a business transaction or were created to document such a transaction. Conversely, some documents are not records because they do not function as evidence of a business transaction. See also: *Record*
Early Disposal	Refers to the practice of destroying original paper records after digitisation and before the authorised retention period for that class of record has expired. The digitised copy of the record must be retained for the same length of time that the paper original would have needed to be kept.
electronic Document and Records Management System (eDRMS)	An eDRMS is a system that combines electronic document management with records management functionality by enabling appropriate contextual information (metadata) to support the evidential value of the information. The recordkeeping metadata assist users to find, manage, control and understand the records over time.
Electronic Records	See *Digital Records*
Evidence	Documentation, records or proof of a business transaction that can be shown to have been created in the normal course of business activities and which are inviolate and complete. It is not limited to the legal sense of the term.

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Term	Definition
Fit-for-purpose	Fit-for-purpose records are those that are suitable and adequate to be used for the designated role, purpose or business activity for which the record was created or required. A fit-for-purpose reproduction of a record (following migration, conversion or digitisation) is one that is adequate to be used in the same way as the original physical record.
Information	Information is any collection of data that is processed, analysed, interpreted, classified or communicated in order to serve a useful purpose or form. This includes presentation in electronic (digital), print, audio, video, image, graphical, cartographic, physical sample, and textual or numerical form. For the purpose of this document the terms, data, information and records are considered synonymous.
Information Security	The protection of information from unauthorised use or accidental modification, loss or release. Information security is based on three elements: • confidentiality – ensuring information is only accessible to authorised persons; • integrity – safeguarding the accuracy and completeness of information and processing methods; and • availability – ensuring that authorised users have access to information when required
Intrinsic Value	Records with intrinsic value have many similar characteristics as enduring value but may not have a permanent retention period. Intrinsic value refers to the special qualities and characteristics of the original medium that contribute to the record's significance. The characteristics that make the record special could be lost or diminished if the physical source record is destroyed and only the content is retained.
Lossless Compression	The compression of data that guarantees the original data can be restored exactly. A file that is compressed using a lossless method and then retrieved is exactly the same as the original, uncompressed file.

Term	Definition
Metadata	Data that describes the content, context and structure of records. Metadata is structured or semi-structured, descriptive information about a record and usually includes the title of the record, author, date created, any changes to the record, and applicable disposal or sentencing information. Recordkeeping metadata enables a record to be managed over time and assists in identifying and retrieving records and supporting long term record functionality, reliability, and effective preservation or disposal authentication.
Optical Character Recognition (OCR)	OCR is a technology that enables you to convert different types of documents, such as scanned paper documents, PDF files or images captured by a digital camera into editable and searchable data.
Physical Records	A record that is tangible and takes up physical space (e.g. paper, photographs or index cards) See also: *Digital Records*
Queensland State Archives (QSA)	Office established under the *Public Records Act 2002* responsible for the development and promotion of effective methods, procedures, and systems for making, managing, keeping, storing, disposing of, preserving and using public records.
Record	In this standard, record has the same meaning as 'record' in the *Public Records Act 2002*, namely: • **record** means recorded information created or received by an entity in the transaction of business or the conduct of affairs that provides evidence of the business or affairs and includes: a) *anything on which there is writing;* b) *anything on which there are marks, figures, symbols or perforations having a meaning for persons, including persons qualified to interpret them;* c) *anything from which sounds, images or writings can be reproduced with or without the aid of anything else; or* d) *a map, plan, drawing or photograph.*

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Term	Definition
Recordkeeping	The making and maintaining of complete, accurate and reliable evidence of business transactions in the form of recorded information. Recordkeeping includes: • the creation of records in the course of business activity • the means to ensure the creation of adequate records • the design, establishment and operation of recordkeeping systems • the management of records used in business and as archives.
Retention and Disposal Schedule (R&DS)	A document issued by the State Archivist authorising the disposal of public records. It defines the temporary or permanent status, retention periods, disposal triggers and consequent disposal actions authorised for classes of records described in it.
Retention period	The minimum period of time that records need to be kept before their final disposal as specified in an authorised retention and disposal schedule.
Source records	Documents or records that have been copied, converted or migrated from one format or system to another. The source records are those that remain following the successful conversion or migration. Source records may be an original record or a reproduction generated by an earlier copying, conversion or migration process.

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Version Control

Version	Date	Comments
v.1.0	6 April 2019	*New standard*
v1.1	20 October 2021	*Approved. Minor amendments (new template and updated references to legislation, standards and policies). Amended error in Appendix 2.*
V1.2	25 October 2022	*Minor amendments. (Change Branch name as a result of Department of Health's Business Case for Change from Risk, Assurance and Information Management Branch)*

Business Area Contact

Corporate Information Management is responsible for the strategic direction and support of the Corporate Records Management function of the Department. Please refer any corporate records management queries, or feedback to:

Corporate Information Management Unit

Governance Assurance and Information Management Branch

Corporate Services Division

Department of Health

Phone: (07) 3082 0582

Email: Records-Corporate@health.qld.gov.au

Intranet: https://qheps.health.qld.gov.au/csd/business/records-and-information-management

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Appendix 1 – Eligibility Assessment

Assessment of Records for Eligibility to Dispose after Digitisation is used to identify and exclude those records that are not eligible for early disposal. Ineligible records may still be digitised, however the original 'source' records must not be disposed.

Disposal Authority Eligibility	Yes	No
Are the records covered by a Queensland State Archivist approved Retention and Disposal schedule?		
• Is the retention and disposal schedule allowed for use by Queensland Health?	☐	☐
• Is the records class relevant to the records being assessed?	☐	☐
• Does the records class have a temporary retention period?	☐	☐

- ○ If **NO** to any of the above questions, the original 'source' records are ineligible for disposal.
- ○ If **YES** to each of the above questions, check the additional eligibility criteria (below).

Disposal Authority Eligibility	Yes	No
Do the records have intrinsic value?		
• Significant aesthetic value (e.g. artwork? annotations/ledger with handwritten historic writing style)	☐	☐
• Records of personal significance (e.g. handwritten letters)	☐	☐
• Historical significance (e.g. original proclamations)	☐	☐
• Relation to a significant person or place (e.g. signed by a prime minister)	☐	☐
• Records that have survived significant events, disasters or incidents with qualities or characteristics that would diminished of the original was disposed	☐	☐
• Physical characteristics contribute to its status as a full and accurate record	☐	☐
• Required to be produced, kept or accessible in its original format for the full retention period (as opposed to the digitised version)	☐	☐
• Provide an emotional connection to the creator or have exhibition qualities	☐	☐
Are the records required to be retained for:		
• A Disposal Freeze issued by the State Archivist	☐	☐
• Insurance claim or other legal purposes	☐	☐
Are the records likely to become 'permanent value' in the future	☐	☐
Are the records migrating from one system to another? (Contact CIM for advice)	☐	☐
Are they born digital records? (Contact CIM for advice)	☐	☐

- ○ If **YES** to any of the above questions, the original 'source' records are ineligible for disposal.
- ○ If **NO** to each of the above questions, proceed to Appendix 2 – Risk Assessment.

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Appendix 2 – Risk Assessment

This assessment is to be undertaken for those records that are eligible for disposal after digitisation (refer Appendix 1 – Eligibility Assessment). It is used to identify those records that have a higher value and are subsequently deemed high risk. High Risk records may still be digitised, however require the approval of the relevant Data Custodian prior to destruction of the original 'source' records.

General Assessment for High Risk Records	Yes	No
Records needed to make, or support, critical business decisions		
• Significant briefs or correspondence	☐	☐
• Significant Audits, Investigations, Findings, Reports, Business Cases, Plans or Advice	☐	☐
Records required, or likely to be required as evidence		
• Contracts and agreements, Investigations and Inquiries, Compensation Claims etc.	☐	☐
• Current and rescinded polices, standards, procedures and guidelines.	☐	☐
• Client files, case files, personnel files, records required to be retained under legislation	☐	☐
Other important records		
• Document significant decisions/changes to previous decisions/activities	☐	☐
• Document significant financial transactions (i.e. authorise expenditure over $1M)	☐	☐
• Deemed vital or important, or security classified as 'Protected'	☐	☐
• Have an ongoing use or value (to the organisation, other organisations, the public etc.).	☐	☐
• Have been the subject of a criminal court matter.	☐	☐
• May be required by a party to litigation under the Rules of Court.	☐	☐
• Anything specific to business that may be important	☐	☐
Records are required to be retained for a minimum of 30 years in accordance with a State Archivist approved Retention and Disposal Schedule	☐	☐

○ If **YES** to any of the above questions, you may proceed with digitisation disposal of the 'High Risk' records with additional approval (Appendix 6 – Destruction Approval for High Risk Records).

○ If **NO** to all of the above questions, you may proceed with disposal of the source records (in accordance with other requirements in this procedure).

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Appendix 3 – Digitisation

Digitisation requires technical specifications to ensure the appropriate quality is achieved per type of document digitised. The technical specifications provide guidance on determining the appropriate scan settings.   This appendix includes:
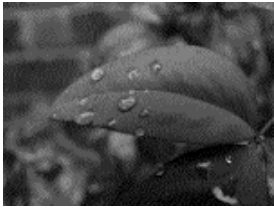
- Appendix 3a – Digitisation Terms
- Appendix 3b – Pre-scan Checklist
- Appendix 3c – Technical Specifications for Digitisation.

Appendix 3a – Digitisation Terms

Format	Format Type	Description
Is the file format (or extension) of the output file. This procedure requires records to be saved using PDF or PDF/A for text-based documents, and TIFF or JPEG 2000 for photos.	**PDF** **PDF/A**	Portable Document Format (PDF) is used to store documents independent of the software used to create the document. • Use for records to be retained for less than 30 years. PDF/A is specialised for long term preservation and archiving • Use for records to be retained for 30 years or more.
	TIFF	Tagged Image File Format (TIFF or TIF) is an image manipulation format for graphics and photographs. In the eDRMS solution it is used for annotation or redaction of document content.
	JPEG 2000 (JP2)	JP2 is an international standard image compression file format developed by the Joint Photographers Expert Group.

Resolution	100 DPI	300 DPI	600 DPI
Is the amount of detail in an image. Image quality is determined by the number of pixels per inch (PPI). The higher the PPI, the higher the quality and finer the detail of the image.	**Resolution 100 PPI** Arial 11 text printed at 600 dots per inch (DPI) and scanned at 100 points per inch (PPI).	**Resolution 300 PPI** Arial 11 text printed at 600 dots per inch (DPI) and scanned at 300 points per inch (PPI).	**Resolution 600 PPI** Arial 11 text printed at 600 dots per inch (DPI) and scanned at 600 points per inch (PPI).
	Note: The terms PPI *(pixels per inch)* and DPI *(dots per inch)* are often confused and regularly used interchangeably. • PPI - Number of pixels in one square inch on a digital monitor • DPI - Number of dots printed in one inch on a document		

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Bit Depth	Black & White (1 bit)	Greyscale (8 bit)	Colour (24 bit)
The number of bits used for each pixel. 1 bit = 2 colours (black and white), 8 bits = 256 colours 24 bits = 16,777,216 colours.			

Appendix 3b – Pre-scan Checklist

Pre-scan tasks should be performed for each document

Quality Check Item	Description	Completed
Content	Remove blank pages and other content that isn't part of the record.	☐
Orientation	Ensure correct orientation of pages (landscape documents as well as documents that are upside down).	☐
Different size pages	Check the different sheet sizes (e.g. an A4 document with A3 or A5 pages). Scan separately and insert into the original document during post scanning operations	☐
Remove/Reposition Sticky Notes	Remove sticky notes (to reverse of page, or onto a separate page with reference to original page) or reposition on the same page so they do not block text or important information.	☐
Remove Bindings	Remove all binding materials (e.g. staples, paper-clips etc.).	☐
Poor Quality Records	Check for poor quality records (i.e. photocopies, hand-written notes). These should be scanned at a minimum 600 PPI so as to not further degrade the quality.	☐
Configure Technical Specifications for Digitisation	Set the scanner settings based on the colours used within the paper record and the content type of the paper records (Appendix 3c - Technical Specifications for Digitisation).	☐

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Appendix 3c – Technical Specifications for Digitisation

What *colours* are in the document?→

What *is in* the document? ↓

Document Colours		
Black and White	**Greyscale**	**Colour**

Document Content	Black and White	Greyscale	Colour
Text	• B&W Text • 300 DPI • PDF or PDF/A	• Greyscale • 300 DPI • PDF or PDF/A	• Colour Text/Photo • 300 DPI • PDF or PDF/A
Text with watermarks, graphics or shading	Use Greyscale	• Greyscale • 600 DPI • PDF or PDF/A	• Greyscale • 600 DPI • PDF or PDF/A
Text with photographs	Use Greyscale	• Greyscale • 600 DPI • PDF or PDF/A	• Colour Glossy • 600 DPI • PDF or PDF/A
Photographs	For B&W – Use Greyscale. For Sepia – Use Colour	• Greyscale • 600 DPI • TIFF	• Colour Glossy • 600 DPI • TIFF

- All documents are to be scanned using lossless compression.
- PDF/A to be used for document to be retained for 30 years or more. Where possible, PDF/A should contain TIFF or JPEG2000 for images.
- Mixed content (e.g. black text with colour graphics) is to be scanned using the highest colour depth.

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Appendix 4 – Quality Assurance

Quality assurance prior to, during, and after digitisation is important to ensure digitised records maintain the following attributes of full and accurate records. Digitised records need to be:

- **Adequate.**   For the purpose for which they are kept (fit-for-purpose).
- **Complete.**   No structural or contextual information lost during digitisation.
- **Useable.**   Able to be presented and interpreted in a form that allows its continued use.
- **Authentic.**   The product of a consistent approved digitisation process.
- **Accessible.**   Captured in an approved recordkeeping system or approved business system and available to staff with a legitimate 'need to know'.

This appendix includes the following quality assurance requirements:

- Appendix 4a – Frequency of Quality Checks.
- Appendix 4b – Visual Quality Checklist.
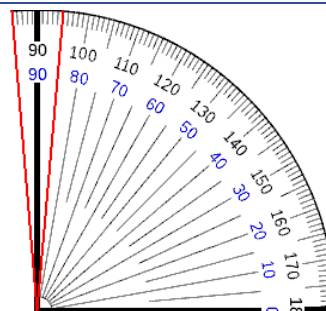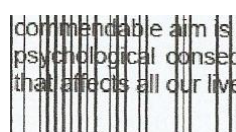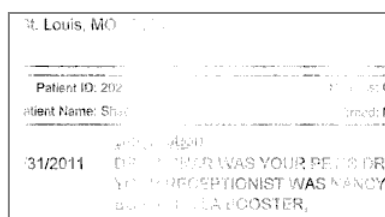- Appendix 4c – Post-scan Checklist.

Appendix 4a – Frequency of Quality Checks

Quality checking digital images produced by scanning requires a visual check to ensure the images meet minimum requirements. It includes checking the number of pages, missing content, alignment, orientation and readability. Visual checking is quite onerous, hence some visual checks are required to be performed for all documents, whilst other checks are performed less frequently.

Scan Type	Description	Check Frequency
Initial Scanning	Scanning completed at the commencement of a work day, or resumption from a break: • initial scanning on any work day • resumption after a break, or interruption • resumption after cleaning/calibration of scanning equipment	All items on Visual Quality Checklist (Appendix 5c) first 5 documents
General Scanning	Scanning undertaken after the successful completion of: • initial or resumption scanning • re-scanning.	As per Visual Quality Checklist (Appendix 5c)
Re-scanning	Scanning completed because the initial scan did not pass all of the quality requirements.	All re-scanned documents must be checked

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Appendix 4b – Visual Quality Checklist

Frequency	Item	Description	Pass
All Docs	**Page Count**	Check the number of pages of the digital image equals the number of pages of the original paper record.	☐
All Docs	**First and Last Page**	Check the first and last page are the same as the first page and last page of the source document.	☐
All Docs	**Sticky Notes**	Check for sticky notes. If the sticky note covers an area of text, remove (scan on a separate page) or reposition the note to a blank part of the document.	☐
All Docs	**Folded Page**	Check that no pages have been folded over when they have been scanned. Any pages within a digital image with missing or altered content must be scanned again.	☐
All Docs	**Orientation**	Check that the orientation of the digital image is correct: Portrait: Short edge on top Landscape: Long edge on left.	☐
Every 10th Doc	**Blurry or Faint Text**	Check the quality of the image is easily readable. If it is blurry or faint increase the contrast or check if the scanner needs to be cleaned or re-calibrated.	☐
Every 10th Doc	**Lines or Streaks**	Check if the image has any unexpected lines, streaks, speckles, or other unexpected marks. The scanner may need to be cleaned and re-calibrated.	☐
Every 10th Doc	**Alignment**	Check the alignment of all pages. If the alignment is greater than 5 degrees from square, then re-scan. Any image with less than 5 degree alignment error missing content must be scanned again.	☐

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Appendix 4c – Post-scan Checklist

Quality Check Item	Description	Completed
Blank Pages	Check for and remove blank pages within the digital image.	☐
Orientation	Check orientation within the digital image and correct where necessary.	☐
Auto Metadata	Check the mandatory digitisation metadata elements are all embedded in the digital record. • Date Digitised • Equipment Used to Digitise • Action Officer	☐
Manual Metadata	If each of the mandatory digitisation metadata elements are not embedded in the digital record, complete a 'Record Cover Sheet' and attach to the record.	☐
Perform OCR	Perform Optical Character Recognition (OCR) on scanned documents and photographs containing text to enable the words within the scanned files to be searchable (Content Search): TIFF and JP2 files will undergo auto OCR upon capture into the eDRMS. For PDF or PDF/A documents: • OCR may be performed on some scanners. • OCR can be performed within the eDRMS. • OCR can be performed using some software (e.g. Adobe Acrobat)	☐
Capture	Capture digitised records into approved recordkeeping system or approved business system.	☐
Disposal Approval	Digitised records assessed eligible for early disposal but 'high risk' require additional approval to dispose of the original paper records using Appendix 6 – Destruction Approval for High Risk Records. For digitised records assessed as 'low risk', no additional approval is required to dispose of the original paper records.	☐
Destroy Paper Records	Destroy original paper records that are eligible and approved for destruction in accordance with the Department's Corporate Records Management Policy Framework.	☐

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Appendix 5 – Record Cover Sheet

This cover sheet may be used to record digitisation and 'source record' recordkeeping metadata. It may be used temporarily until the metadata is migrated/captured into an approved recordkeeping system or approved business system.

Alternatively, it may be digitised and captured with the relevant record.

Mandatory Metadata		
Date of Digitisation *	*10/03/2017*	
Digitisation Equipment Used *	*Ricoh MP C3503*	
Action Officer *	*Justin Example* Name	*Justin Example* Signature *10/3/2017* Date

Additional Metadata		
Additional Digitisation Metadata	**Image Resolution:** **Image Colour Depth:** **Compression:** **File Format:** **File Sub-Formats:** **Other:**	600 PPI 24 bit colour Lossless PDF JPEG2000
Original Record No.	COR/000199	
Description	Development and approval of the Queensland Health Position Statement on Clinical Records	
Original System	Department of Health – Corporate Office Licence of RecFind	
Additional Recordkeeping Metadata	**Date Created:** **Current Location:** **Home Location:** **Classification:** **Security:** **Disposal:** **Other:**	01/10/2002 Director, Strategic Policy and Legislation Branch C-BOX-1000 (Grace Records Management) Health Protocols Administration – Clinical Protocols Internal-Use-Only Permanent

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Eligibility	Description	Reason
☐ **Eligible – Low Risk**	May proceed with disposal of source records	…………………………………
☐ **Eligible – High Risk**	May proceed with disposal with Data Custodian* approval (in accordance with <u>Appendix 2 – Risk Assessment</u>)	…………………………………
☐ **Not Eligible**	Must not proceed with disposal (in accordance with <u>Appendix 1 – Eligibility Assessment</u>) of source records	…………………………………

* Digitised records that are eligible, but high risk may be escalated to an appropriate Data Custodian in accordance with Appendix 6 – Destruction Approval for High Risk Records.

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Appendix 6 – Destruction Approval for High Risk Records

The records listed below are 'eligible' for disposal after digitisation but are considered 'high risk' in accordance with **Appendix 2 – Risk Assessment**. As high risk records they require additional approval by a relevant Data Custodian to ensure the value of the original paper records are appropriately considered prior to disposal of the original source records.

Original Record No.	New Record No.	Description	Action Officer	High Risk Category	Destroy Yes	Destroy No
COR/000199	*C-DOC15/119*	*Development and approval of the Queensland Health Position Statement on Clinical Records*	*Justin Example*	*Current or rescinded policies, standards, procedures or guidelines*	☐	☐
					☐	☐
					☐	☐
					☐	☐
					☐	☐

Data Custodian – Approval to Dispose High Risk (Paper) Records

I am aware of my responsibilities under the Corporate Records Management Policy and hereby authorise the early disposal of the original paper records that have been digitised, as per the attached list.

Signed (Data Custodian)_____ Date_____

Name (Please print) _____

Position title _____

Unit/Branch/Division _____

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