



CORPORATION OF THE TOWNSHIP OF ESQUIMALT

COUNCIL POLICY

TITLE: Imaging of Municipal Records	NO. ADMIN - 77
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PURPOSE

The Township of Esquimalt (the Township) recognizes that imaging or scanning of paper records offers the potential to improve office processes and enhance access to records.

This Policy outlines the minimum requirements that must be met for digital images to take the place of original source records as the official and authoritative record retained by the Township. These requirements ensure the image(s) are reliable, trustworthy, authentic and admissible in legal proceedings, where the laws of evidence allow such submission.

SCOPE

This Policy has been developed to authorize the imaging or scanning of source records with the intent of establishing the digital images as the official municipal record. This Policy also allows the destruction of source records in certain contexts. Electronic filing of official municipal records will follow the Local Government Management Association [LGMA] record classification structure to mirror municipal paper record filing. (See Council Policy No. ADMIN-42).

DEFINITIONS

“Authentic” (in evidentiary proceedings) means the genuineness of a record. It requires proof that a record is what it purports to be (i.e. that a Record actually comes from a person, organization or other legal entity asserting to be its author or authorizing authority).

“Electronic Data and Records Management System (EDRMS)” means the electronic content management system primarily designed to assist an organization in managing its records from creation to disposition. The system includes a means to demonstrate that procedures are in place to maintain the integrity and the authenticity of records.

“Image(s)” are the digital representations of source records whose information has been captured and fixed for storage and manipulation in an electronic system and that requires the use of the system to generate an intelligible reproduction of that record.

“Imaging Program” refers to the authorized procedures developed to process and manage the records. This may also include the confidential disposal of source records.

“Indexing” means the process of establishing access points to facilitate retrieval of records or information or both.

“Metadata” refers to data about data elements, including but not limited to data descriptions, access rights and creation date.

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“Record” means a record of information in any form, including information that is written, photographed, recorded, or stored in any manner, on any storage medium, or by any means, including by graphic, electronic or mechanical means, in the custody or under the control of the Township of Esquimalt.

“Source records” or paper originals are records that we can touch and take up physical space, such as microfilm, microfiche, paper documents, photographs, drawings, plans, etc.

APPLICATION

This Policy applies to all scanning projects or Imaging Programs that intend to retain the electronic images as the official and authoritative records.

This Policy does not apply to records scanned for convenience where the paper originals are retained as the official record.

Records scanned before the implementation of this Policy where the source records have been retained but where the Township would like to dispose of the source records will be able to do so with proof of the accuracy of the scans and by demonstrating the Township's history of successful reliance on those Images.

RESPONSIBILITIES

1. Corporate Officer

The Corporate Officer or his or her designate is the senior staff member responsible for the administration of this policy and the key duties of the Corporate Officer include:

- Ensuring Policy compliance and providing status updates to the CAO annually regarding compliance with the Policy.
- Authorizing the implementation of Imaging Programs and reviewing any requested changes to the minimum requirements outlined in this Policy.
- Authorizing the destruction of source records upon completion of the scanning process and all quality control checks.
- For Images created before the implementation of this Policy, the Corporate Officer may review and approve the Image as the official and authoritative record as required.
- All inquiries relating to this Policy should be directed to the Corporate Officer.

2. Archivist/Records Coordinator

The Archivist/Records Coordinator is the primary contact person for staff and their key duties include:

- Assisting staff with developing and implementing Imaging Programs
- Reviewing records identified for scanning for compliance with this Policy.
- Ensuring external digitization services have process and procedures in place that are compliant with this Policy and relevant standards.

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- Monitoring Images stored on network drives and the Electronic Data and Records Management System.
- Maintaining an audit log and reporting any unlogged changes to Images to the IT Manager.

3. Information Technology Manager

The IT Manager is responsible for providing guidance and information on the scanning equipment and system(s) where the Images will be stored and their key duties include:

- Undertaking regular evaluations of the Electronic Data and Records Management System to ensure compliance with this Policy.
- Providing guidance on information security measures for electronic records.
- Maintaining operations manuals for all scanning hardware and software.
- Maintaining information on storage, back-up and recovery processes for electronic records.

4. All Other Staff

All staff are required to adhere to this Policy when scanning or imaging records for the purpose of electronic filing of municipal records. Staff may also be designated to manage a specific Imaging Program for their department as required.

POLICY

Minimum Requirements for an Imaging Program

Before initiating an Imaging Program the below minimum requirements must be met. Any changes must be provided to the Corporate Officer for review and approval.

- Identification and description of the records to be scanned.
- Written authorization to implement an Imaging Program.
- Designation of an individual that is responsible for managing the Imaging Program.
- Operations manuals for scanning hardware and software.
- Tamper proof audit log for additions and modifications to the images and systems.
- Electronic Data and Records Management System with an audit trail mechanism for permanent records and records with an overall retention period exceeding 10 years.
- Filing of all documentation related to the Imaging Program.
- Written procedures describing processes for:
 1. Preparation of Source Records
 2. File format, resolution and quality standards for images
 3. Indexing
 4. Quality control
 5. Procedure for retaking images

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<p>6. Storage, back-up and recovery processes for Images. 7. Disposition of source records</p>	
<p><u>Disposition</u></p> <p>The disposition of records (Source Records and Images) must comply with Council Policy ADMIN-42, which requires the signed approval by the Corporate Officer. Images may only be destroyed in accordance with its retention period assigned in the Township's Records Classification Manual.</p> <p>The destruction of source records must only occur at the conclusion of the scanning process and all quality control checks. The disposition of Source Records may not occur if other laws, regulations, bylaws, policies, archival or business requirements require the retention of originals.</p>	
<p><u>Outsourcing</u></p> <p>Any external digitization service may be contracted by the Township as part of an Imaging Program. It must conform to the minimum requirements of this policy. The vendor must also provide documentation describing the process of transporting source records to the vendor and how both the images and source records will be returned to the Township.</p>	
<p>REFERENCES</p> <ul style="list-style-type: none"> • <i>Community Charter</i> [SBC 2003] Chapter 26 • Township of Esquimalt Council Policy ADMIN-42 – Records Management • Township of Esquimalt Freedom of Information Bylaw, 2012, No. 2795 • Canadian General Standards Board. Electronic Records as Documentary Evidence. CAN/CGSB-72.34. Ottawa: Canadian General Standards Board, 2017 • International Organization for Standardization – (ISO). ISO/TR 15801:2017 Document management – Electronically stored information – Recommendations for trustworthiness and reliability • <u>Evidence Act (B.C.)</u> • <u>Electronic Transactions Act (B.C.)</u> • <u>Freedom of Information and Protection of Privacy Act (B.C.)</u> • Federal and/or provincial legislation applicable to recordkeeping practices in a functional area, such as <u>Employment Standards Act</u> (B.C.) 	
<p><i>Note: Attached as a reference, are Guidelines for the imaging of municipal records that may be updated at the discretion of the Corporate Officer at any time.</i></p>	

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Guidelines for Imaging of Municipal Records

These guidelines outline the processes required to meet the minimum requirements as outlined in Council Policy ADMIN-77: Imaging of Municipal Records.

Identification of Source Records to be scanned

Describe the identified records' classification code(s), inclusive dates and department. Ensure all records are accounted for and make note of any missing or damaged records.

Dept.	Records Description	Code	Dates	# of Records
Finance	Completed "Application for Absence from Work" forms.	1920-20	1991-2018	15 banker boxes

Written Authorization

Submit your record listing to the Corporate Officer for written authorization to initiate an imaging program.

Staff Responsible for Imaging Program

List the job titles and any related permissions for all person(s) part of the Imaging Program. This must include the person(s) responsible for managing the overall Imaging Program.

Written Procedures

Follow the below steps when scanning Source Records. Any changes to the below procedures must be approved by the Corporate Officer before you start an Imaging Program.

1. Preparation of Source Records

Preparation of sources records for imaging may include removing any physical bindings (i.e. paper clips, staples, binders, etc.) and/or improving the quality of the record (i.e. flattening documents, fixing torn records and removing irrelevant sticky notes and flags). For efficient processing, verify all papers are facing the same direction and are right side up. Sources records requiring special processing procedures, such as illegible documents or records with an embossed seal should be separated for individual scanning (if required).

2. File Format, Scanning Resolution and Quality Standards for Images

Identify the scanning resolutions required for the sourced records. Generally, a resolution of 300 dpi will be of sufficient quality; however, for drawings/maps/documents with background detail, a higher resolution (e.g., 600 dpi) may be required to ensure small details are captured and legible.



Identify what file formats the Images will be stored. Remember to also select a file format that you can reasonably predict will be supported until the end of the records retention period. Refer to the below table for guidance.

Category	Acceptable	Preferred	Preferred – Permanent Records
Paper	PDF	PDF/A	PDF/A
Photographs	JPG	TIFF	TIFF (uncompressed)
Audio Records	WAVE (LPCM)		
Videos (moving images)	AVI, FLV, MOV, MPEG-1, MPEG-2, MPEG-4, SWF, WMV		FFV1/LPCM in MKV

3. Indexing

Descriptive metadata must be captured to facilitate the management and efficient search and retrieval of Imaged records. Metadata may be captured automatically and/or manually before, during and after digitization, as metadata attached to the digitized record, logged on the software or system into which the record is ingested. See the below list of mandatory metadata elements:

- Scanned Record Identifier
- Batch Identifier (if scanning in batches)
- Digitization Date
- Scanning Operator

4. Quality Control

Quality assurance procedures are required to reduce the risk of images, index information and metadata being of unsatisfactory quality. Criteria for image quality should be realistic given the nature of the source records.

Quality control checks need to be documented and are necessary at least two stages:

- Preparation
 - Assemble a set of test documents that are representative of the source records and verify the scanning equipment and settings are satisfactory. At minimum, quality control checks should be run at the beginning of an Imaging Program, as well as when the scanner settings are changed.
- Scanning
 - Review a sample set of prepared Images to ensure that they are acceptable for filing. Documents will need to be rescanned if they do not meet the below quality control criteria for digitized images.
 - Accuracy of the scanned image as compared with the original;
 - Identical page counts;
 - Verify each page was captured in its entirety and there are no missing details;
 - Check for completeness and accuracy of detail (i.e. text clarity, sufficient capture of punctuation marks);
 - Fidelity of colour on the image compared with the original document;
 - Removal of blank, duplicate or extra pages, and that they are in the correct order;
 - Density of solid black areas; and



- Overall quality of the scans (i.e. lack of sharpness, banding (scan lines) or inconsistent contrast or brightness)
- Once a sample set is reviewed, further quality assurance checks should be applied to the complete job. The percentage of the job reviewed for quality assurance will be based on risk of litigation and the percentage of acceptable risk of pages or information missing or distorted from the record.

Sample Quality Control Log

Identifier or Description of Sample	Date	Signature of quality check person	Actions Performed
QC-003 (3 rd sample of Imaging Program)	2019-07-23		Followed all quality control steps. Rescanned 17 documents with missing characters on the far left side. It was a result of human error. Scanning technician is now aware of this possibility.

5. Procedure for Retaking Images that do not meet quality assurance standards

When rescanning or retaking images, ensure the metadata reflects the Images were created at a different date than the rest of the related scans. If your scanning procedures are significantly different, be sure that change in process is also documented.

6. Storage, back-up and recovery processes for images

Document where the Image(s) will be saved (i.e. shared network drive) and what will happen at the end of the retention period. When saving Images, ensure you also complete any applicable metadata (if not auto populated) and rename the document according to naming conventions.

7. Disposition of Source Records

Describe what will happen to the Source Records after digitization. Source Records should only be disposed of after the conclusion of the scanning process and all quality control checks.

Operations Manuals for scanning hardware and software

Contact IT for a copy of relevant operations manuals.

Audit Log /EDRMS

This step is managed by the Archivist/Records Coordinator.

Final Filing

Provide copies of all logs and other documentation created during the Imaging Program to the Archivist/Records Coordinator for filing.