

Australian/New Zealand Standard™

**Information and documentation—
Implementation guidelines for
digitization of records**



AS/NZS ISO 13028:2012

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee IT-021, Records and Document Management Systems. It was approved on behalf of the Council of Standards Australia on 3 April 2012 and on behalf of the Council of Standards New Zealand on 2 April 2012.
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This Standard was issued in draft form for comment as DR AS/NZS ISO 13028.

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PREFACE

This Standard was prepared by the Standards Australia Committee IT-021, Records and Document Management Systems.

The objective of this Standard is provide implementation guidelines for processes and policies for converting hard copy or non-digital records into digital format.

This Standard is identical with, and has been reproduced from ISO/TR 13028:2010, *Information and documentation—Implementation guidelines for digitization of records*.

As this Standard is reproduced from an International Standard, the following applies:

- (a) Its number appears on the cover and title page while the International Standard number appears only on the cover.
- (b) In the source text ‘this Technical Report’ should read ‘this Australian/New Zealand Standard’.
- (c) Where the source document uses the term ‘worm (write once, read many)’ *replace* with ‘WORM (write once, read many)’.
- (d) Where the source document uses the term ‘best practice guidelines’ *replace* with ‘implementation guidelines’.
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References to International Standards should be replaced by references to Australian or Australian/New Zealand Standards, as follows:

<i>Reference to International Standard</i>	<i>Australian/New Zealand Standard</i>
ISO	AS ISO
15489 Information and documentation— Records management	15489 Information and documentation— Records management
15489-1 Part 1: General	15489.1 Part 1: General
23081 Information and documentation— Records management processes— Metadata for records—	23081 Information and documentation— Records management processes— Metadata for records
23081-1 Part 1: Principles	23081.1 Part 1: Principles
	AS/NZS ISO
23081 Information and documentation— Managing metadata for records	23081 Information and documentation— Records management processes— Metadata for records
23081-2 Part 2: Conceptual and implementation issues	23081.2 Part 2: Conceptual and implementation issues
ISO/TR	AS ISO
15801 Document management—Information stored electronically— Recommendations for trustworthiness and reliability	15801 Document management—Information stored electronically— Recommendations for trustworthiness and reliability

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INTRODUCTION

With the shift to managing records in digital systems, many organizations are digitizing paper and/or other non-digital records. To manage themselves effectively, organizations need to create full and accurate records of their activities and maintain these records over time for subsequent reference. These considerations are valid regardless of the records' storage media.

Digitization is the process of converting hard-copy, or other non-digital, records into a digital format, such as taking digital photographs of non-digital source records or imaging non-digital source records (also known as scanning).

When converting records into digital objects, they are commonly:

- a) captured as static pictures (raster image) represented by pixels;
- b) processed by optical character recognition technology which converts the pixels into digital representations which are searchable, editable and manipulable; or
- c) captured into both formats.

Digitization can broadly be categorized into two types:

- business-process digitization: ongoing, routine digitization as part of daily business processes;
- digitization projects: project-based bulk digitization of legacy records.

AUSTRALIAN/NEW ZEALAND STANDARD

Information and documentation—Implementation guidelines for digitization of records**1 Scope**

This Technical Report:

- establishes guidelines for creating and maintaining records in digital format only, where the original paper, or other non-digital source record, has been copied by digitizing;
- establishes best practice guidelines for digitization to ensure the trustworthiness and reliability of records and enable consideration of disposal of the non-digital source records;
- establishes best practice guidelines for the trustworthiness of the digitized records which may impact on the legal admissibility and evidential weight of such records;
- establishes best practice guidelines for the accessibility of digitized records for as long as they are required;
- specifies strategies to assist in creating digitized records fit for long-term retention;
- establishes best practice guidelines for the management of non-digital source records following digitization.

This Technical Report is applicable for use in the design and conduct of responsible digitization by all organizations undertaking digitization, either business process digitization or back capture digitization projects for records management purposes, as outlined in ISO 15489-1:2001 and ISO/TR 15801:2009.

This Technical Report is not applicable to:

- a) capture and management of born-digital records;
- b) technical specifications for the digital capture of records;
- c) procedures for making decisions about records' eventual disposition;
- d) technical specifications for the long-term preservation of digital records;
- e) digitization of existing archival holdings for preservation purposes.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 15489-1:2001, *Information and documentation — Records management — Part 1: General*



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