

Procedures and Form for Preparing Records to Sent to the Outsourcer to be Scanned (Part A)

1. **Scanning Guidelines** – Prior to sending records to an outside source for scanning – please refer to the scanning guidelines on the Hub. It is important to ensure that the Information Management Team has been consulted prior to scanning being sent to ensure all protocols have been completed. Please contact the Information Management Team if you require assistance
2. **Keeping Original Documentation When Scanning is Complete - Long Term Archive Decision Making** – Does your documentation have historical value? If in doubt please contact the archivist for advice. If in doubt about retention period please consult SCARRS Schedules (on HUB) or IM Team if unsure
3. **Preparation of records for Scanning**
 - Complete the Outsourced Scanning Form (attached)
 - Log files on this form and estimate the number of records (front and back) you wish to be scanned.
 - One form should be completed for each box of records. Save a copy of form in your teams shared location
 - **Naming Convention Example – Year-Month-Day-TeamQL-BoxNumber - Eg - Planning Team – 20120709PLQLBox1**
4. **Sending Records – Outsourced Scanning Dispatch Form**
 - **Rationalise Paperwork in Boxes and files** – Ensure you are only sending what you actually need
 - **Ensure Boxes are not too heavy**
 - **Number and address Boxes** - Number all boxes sent e.g 1 of 5, 2 of 5 write the numbers on the box, mark clearly the Scanning Company name on the box also. Note the box Numbers on the Dispatch Form.
 - **Part A** of this form should be placed in each box along with the records.
 - **Complete Part B of the “Outsourced Scanning Form”**
5. **Naming Convention** – This section should be used to inform how you wish the scanned record to be named. Guidelines on recommended conventions can be found on the Hub. Refer to IM team if required.
6. **Arranging collection of boxes** - Once boxes are prepared for dispatch contact facilities management who will assist with arranging for these to be dispatched / posted the outsourcers.
7. Transferring Images to your drive – on receipt of CD or memory stick discuss with IT how best to save scanned documents to your drive
8. **Quality Checking Images** – Refer to “Scanning Guidelines” available on the Information Management section of the Hub.
 - When all records have been scanned quality checking should take place and logged on Record Scanning Quality Log
 - Check the number of images on the CD corresponds with the number of files / records sent for scanning, a 10% check should be sufficient
 - Take appropriate actions to rectify / note any errors.
9. **Instructions to Outsourcer to Destroy Original Documents** - Upon completion of scanning the outsourcers will retain the records for an agreed period until quality checks have taken place. When checks are complete a destruction form will be sent back to EDC to gain approval to dispose of all records. Complete and authorise form. The outsourcer will send a final certificate confirming the records have been disposed. This should be retained with the Destruction Authorisation form in EDC.

Records Scanning / Quality Log – Outsourcers

(Part A– Place in Box with Records - Send to Outsourcer)

Outsourcer - Name / Contact Details *		Date Sent to Outsourcers *	
From:- EDC Service Team Name *		EDC Contact Name & Ext Number *	
Disposal of Original Records Required When Scanning Complete Y/N *		Original Documentation to be Kept? Note Details *	
Method of Destruction (eg Confidential, general...) *		Method of Image Transfer (eg CD..) *	
Special Instructions *		Naming Convention to be Used for Images *	

Records Dispatched to Outsourcer

[illegible]

Quality Checking Log (For EDC Use Only)

Percentage of Images Checked by Outsourcer	Percentage Checked by EDC	All Records Noted Above Appear on Image List on CD (100% checked)	All Records Checked Have Correct Number of Images (file size correct) 100% check	Resolution and Quality of Images Confirmed as Correct for	Actions Taken to Resolve Errors – (Where there is a high percentage of errors – increase % check).
Note - % *	Note - % *	Confirmed By / Date		Checked Y/N	
Confirmed By / Date	Confirmed By / Date				

Note * Minimum Requirement for Quality Checking Records -

- 100% of records should be checked to confirm the record exists and appears on the storage media (eg CD) and that the image size matches the number of documents estimated.
- The naming convention should also be checked for 100% of the records to ensure they are indexed correctly.
- If the outsourcer has quality checked >50% of the records, EDC employees will check a minimum of 5% of the total number of records in more detail (eg resolution quality for all images, positioning etc).
- If the outsourcer has checked <50% of the records, EDC employees will check 10% of the total number of records.
- If there are a high level of errors in the recommended that the number of records checked should be increased by 10% to identify any issues with the entire batch. If this is the case then the batch should be re-scanned

Destruction of Records Authorisation

All Quality Checks Noted Above Complete	EDC Destruction Authorisation Form has been signed off by the Service Manager.	Destruction Form from Outsourcers Signed Off and Sent to Outsourcer.	Confirmation from Outsourcer Records Have been Destroyed.	Method of Destruction	By / Date
Confirmed By / Date	By / Date	Attach destruction confirmation certificate to this form from the outsourcers. By / Date	Attach destruction confirmation certificate to this form from the outsourcers.		

Note: - The EDC Destruction Form must be authorised prior to approving / signing the destruction form for the outsourcing approving the final destruction of the records.

Information and Records Management

Outsourced Scanning Dispatch Form/ Scanning Acceptance Form

(Part B – Send to Outsourcer)

To: Outsourcer - Name		Date Sent to Outsourcers	
Outsourcers Address		Outsourcer - Contact Details	
From:- EDC Service / Team Name		EDC Contact Name / Ext Number	
Disposal of Original Records Required When Scanning Complete Y/N		Original Documentation to be Kept? Note Details	
Method of Destruction (eg Confidential, general...)		Method of Image Transfer (media type - eg CD, memory stick..) Format of Scanned Images – eg PDF, PDA (for long term preservation)	
Special Instructions		Naming Convention to be Used for Images	
No of boxes sent for Scanning:		File types within boxes:	
No of boxes sent for Scanning:		File types within boxes:	
<u>Total number of boxes sent</u>			

Service Representative Signature (Print & sign) _____

Date _____

Outsourcer Job Number _____