



DISTRICT OF NORTH SAANICH

COUNCIL POLICY

TITLE: SCANNING	NO. COU-035
PURPOSE The purpose of this policy is to authorize scanned records as official records where the source records have been scanned, meet quality control criteria, and have been filed in an Electronic Document and Records Management System (EDRMS), as part of the usual and ordinary course of business. It allows for the disposal of source records following scanning, where appropriate.	
POLICY STATEMENT The District of North Saanich (the District) recognizes that scanning source records offers the potential to improve business processes, workflows, accessibility, retrievability and searchability. In order for scanned records to take the place of source records as the official record, an accurate and trustworthy reproduction of the original must be demonstrable. Scanned electronic records must be converted to ensure the images are reliable, trustworthy, authentic, and admissible in legal proceedings, where the laws of evidence allow such submission. This policy is to be read in conjunction with policies <i>2001.1 Corporate Records Retention</i> and <i>2001.2 Corporate Records Management</i> .	
SCOPE <ol style="list-style-type: none">1. This policy applies to all employees, volunteers, and contractors of the District of North Saanich converting source records to scanned records.2. This policy applies to all scanning where the purpose is to retain the scanned record as the official record.3. This policy does not apply to records scanned for convenience where the source records are retained as the official record.4. Source records that were scanned and retained before the implementation of this policy can be disposed with proof that the scanned records meet quality control criteria, by demonstrating the District's history of successful reliance on those scanned records, and approval from the Corporate Officer.	

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POLICY

Scanned Record as Official Record

- 1.1 An electronic record in the District’s custody or control is the official record when filed in an Electronic Document and Records Management System (EDRMS), as per policy *2001.2 Corporate Records Management*.
- 1.2 Where a source record is converted to a scanned record in accordance with quality control criteria and filed in an approved EDRMS, the scanned record is considered the official record, unless otherwise indicated.
- 1.3 Filing, storage and retention of electronic records and scanned records will follow the District’s policy *2001.2 Corporate Records Management*, and must be classified according to the District’s Records Classification and Retention Schedule. This will ensure that the records can be linked to a business context and are managed according to a retention and disposition schedule.

Scanning Program

- 2.1 Before initiating scanning, Departments must obtain approval for a Scanning Program (the Program) from the Corporate Officer or designate. Any changes made to the Program must be provided to the Corporate Officer or designate for review and approval.
- 2.2 Departments must conduct a document risk assessment of source records to be scanned and must determine the risk level for destroying the source records after digitization, based on any ongoing legal, business, archival, historical, or other requirements. Departments must monitor any changes to these requirements in order to remain compliant with this policy. Legal advice should be sought to determine the likelihood of risk, if necessary.
- 2.3 Source records must be scanned according to prescribed standards and guidelines.
- 2.4 When scanning source records, Departments must conduct quality control to the scanned records. Quality control is required to ensure there are no issues during the scanning process, and to reduce the risk of information being of unsatisfactory quality.
- 2.5 Scanned records that do not meet the quality control criteria must be rescanned.
- 2.6 Records of all quality control activities must be kept.
- 2.7 Source records approved for scanning may be scanned individually in the usual and ordinary course of business; or through a scanning project.

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Destruction of Records

- 3.1 In the usual and ordinary course of business, a source record may be destroyed at the conclusion of the scanning process, the quality control checks, and filing in an approved EDRMS.
- 3.2 At the conclusion of a scanning project, source records may be destroyed after a records destruction authorization is approved.
- 3.3 Disposition of scanned records must comply with policies *2001.1 Corporate Records Retention* and *2001.2 Corporate Records Management* and may only be destroyed in accordance with its retention period assigned in the District’s Records Classification and Retention Schedule.
- 3.4 Despite the above, source records must not be destroyed if other laws, regulations, bylaws, policies, archival or business requirements require the retention of originals.
- 3.5 Source records must not be destroyed if the records are designated as vital records. These must be retained in hard copy. These records may still be converted to scanned records for convenience. The source records and scanned records must be retained in accordance with the retention schedule.

Third Party Scanning

- 4.1 External third party scanning services may be contracted by the District as part of a Scanning Program. The service must conform to this policy and scanning procedures. The vendor must also provide documentation describing the process of transporting source records to the vendor, how both the scanned records and source records will be returned to the District, and how the source records will be disposed, as applicable.

RESPONSIBILITIES

Corporate Officer (Director of Corporate Services)

The Director of Corporate Services, in their capacity as Corporate Officer, or their designate, is the senior staff member responsible for the administration of this policy and they are responsible for:

- Ensuring policy compliance and providing status updates to the Chief Administrative Officer annually regarding compliance with the policy.
- Authorizing the implementation of Scanning Programs and reviewing any requested changes to the minimum requirements outlined in this policy.
- Approving the destruction of source records upon completion of scanning projects.

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- Approving scanned records created before the implementation of this policy as the official record, as required.

Records Coordinator

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

- Assisting staff with developing and implementing Scanning Programs.
- Reviewing Scanning Program submissions in order to ensure compliance with this policy.
- Verifying the destruction of source records upon completion of scanning projects.
- Ensuring external scanning services have processes and procedures in place that are compliant with this policy and relevant standards.
- Monitoring scanned records in the EDRMS.
- Training staff on scanning procedures.

Information Technology Services

Information Technology Services is responsible for providing guidance and information on the scanning equipment and system(s) where the scans will be stored, and their key duties include:

- Providing and maintaining scanning equipment and software.
- Providing guidance on information security measures for electronic records.
- Maintaining operations manuals for all scanning hardware and software.
- Maintaining information on storage, backup and recovery processes for electronic records.
- Ensuring all scanning equipment is set up with Optical Character Recognition.
- Maintaining the systems on which electronic records are stored, accessed, and managed.

Directors and Managers

Directors and Managers are responsible for ensuring scanning policy and procedures are being adhered to within their department, and their key duties include:

- Submitting Scanning Programs for approval, and any changes to their Programs.
- Ensuring their staff are scanning according to policy and procedures.

Employees

Employees are required to adhere to this policy when scanning records. Employees may also be designated to manage a Scanning Program for their department as required.

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DEFINITIONS

Authentic/Authenticity is the quality of being genuine, not counterfeit, and free from tampering, and is typically inferred from internal and external evidence, including its physical characteristics, structure, content, and context.

Electronic Document and Records Management System (EDRMS) is a software system that is primarily designed to assist an organization in managing its records from creation to disposition, and that meets requirements and standards for integrity, reliability and authenticity of records, as well as security from unauthorized access or tampering.

Electronic records are information or data, originating in a computer environment, that have been created in an electronic format, captured and fixed for storage and manipulation in an automated system and that requires the use of the system to render them intelligible by a person.

A **record (or official record)** includes books, documents, maps, drawings, photographs, letters, email, vouchers, papers and any other thing on which information is recorded or stored by any means whether graphic, electronic, mechanical or otherwise (*BC Interpretation Act, R.S.B.C. 1996, c. 238, s. 29*). In addition, these records include, but are not limited to: electronic information in the form of electronic mail (email); information stored on the Local/Shared Access Network (LAN/SAN); data in databases; and websites.

Scanned records 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.

Scanning Program is the authorized procedures developed to process and manage the source records and scanned records. These procedures may also include the confidential disposal of source records.

Source records are hard copy originals that we can touch and that take up physical space, such as microfilm, microfiche, paper documents, video and audio tapes, photographs, drawings, plans, etc.

Scanning is the process of copying source records (usually paper) into digital form (or scanned records). The process of scanning includes planning, assessing, preparing, scanning, compiling metadata, running quality assurance checks, and storing and managing the scanned records.

Vital records are those necessary to begin recovery of District business after a disaster; those which are necessary to protect assets, obligations and resources of the District, as well as its employees and citizens. Also known as essential records.

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REFERENCES

Legislation and Statutes

- Canada Evidence Act, R.S.C. 1985, c. C-5
- Document Disposal Act, R.S.B.C. 1996, c. 99
- Evidence Act, R.S.B.C. 1996, c. 124
- Electronic Transactions Act, S.B.C. 2001, c. 10
- Community Charter, S.B.C. 2003, c. 26
- Freedom of Information and Protection of Privacy Act, R.S.C.B. 1996, c. 165

Standards

- Canadian General Standards Board, *Electronic Records as Documentary Evidence* (CAN/CGSB-72.34: 2017)
- ISO/TR 13028:2010, Information and documentation – Implementation guidelines for digitization of records
- ISO 15489-1:2016, Information and documentation – Records management
- ISO/TR 15801:2017, Document management – Electronically stored information – Recommendations for trustworthiness and reliability

Related Policies

- 2001.1 Corporate Records Retention
- 2001.2 Corporate Records Management

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