

Document Title: Invest NI Document Scanning Policy

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1	Introduction	3
1.1	Purpose	3
1.2	Scope	3
1.3	Document structure	3
2	Invest NI document scanning principles	4
2.1	Introduction	4
2.2	Document scanning to achieve business benefits	4
2.3	Copyright legislation, licenses and agreements	5
2.4	Document destruction, duty of care and legal requirements	6
2.5	Roles and responsibilities	9
	ANNEX A: Decision tree for document scanning and the destruction of originals	10
	ANNEX B: Scanning Documents	11

1. INTRODUCTION

1.1 The purpose of this document is to set out the policy and procedures associated with capturing paper documents received into the organisation as electronic records.

The policy is designed to ensure that:

- risks to the organisation arising from document scanning and the destruction of paper originals are minimised
- statutory, regulatory and contractual obligations are met
- the integrity of scanned documents is maintained
- the benefits of managing documents electronically are realised.

1.2 Document scope

The policy sets out the high-level principles that must be applied to the conversion of paper documents to electronic format by scanning. The policy is independent of any particular information system or equipment, and covers all types of information.

The policy covers:

- document scanning to achieve business benefits
- compliance with copyright legislation, licences and agreements
- legal admissibility, weight of evidence and document destruction
- roles and responsibilities.

1.3 LINKS BETWEEN THIS POLICY AND OTHER CORPORATE POLICIES

Maintaining the effectiveness of this policy means that it must complement and interact with other policies including:

- Best practice in record management as per Public Record Office NI (PRONI) and ISO guidelines
- Invest NI's knowledge management strategy

- Invest NI's Information Management Framework
- Invest NI's Records Management policy
- Audit requirements

2. Invest NI Document Scanning Principles

2.1 Introduction

This section sets out the principles that must be adopted for all document scanning within Invest NI. The principles that make up the Invest NI scanning policy relate to four key areas:

- document scanning to achieve business benefits
- compliance with copyright legislation, licenses and agreements
- legal admissibility, weight of evidence and document destruction
- roles and responsibilities.

The following sections set out the scanning principles under each heading.

2.2 Document scanning to achieve business benefits

Principle 1: Physical documents that form a record of the organisation's activities should be captured electronically within Meridio where it is cost-effective to do so and within the constraints set out in this policy.

Documents should be created and received electronically wherever possible. However where physical records occur eg incoming mail, consideration should be given to converting them to electronic format through scanning.

Electronic documents can be shared without the need for duplication, and are much more accessible than their physical counterparts. Electronic filing also reduces administration, saves office space and guards against loss.

The cost-effectiveness of document scanning should be taken into account in some cases. The effort of scanning documents that are rarely used may outweigh the benefits, and storing the documents in a paper file may be a better option. The form, size or condition of some documents may also preclude scanning.

If a document is significant but cannot be scanned for any reason, a metadata record (physical marker) should be created for the physical document and logged in Meridio, to make others aware that the information exists.

2.3 Copyright legislation, licenses and agreements

Principle 2: The scanning of any document for which a third party holds the copyright must comply with UK copyright legislation.

This is the over-arching policy with regard to copyright, and must always be applied in the absence of any other license or agreement.

Copyright is the set of exclusive legal rights that an author has over their work for a specified period of time. Where an employee creates material in the course of their job, copyright will rest with the author's employer. Copyright applies equally to paper documents, electronic information, CD-ROMs, websites, images, computer programs etc.

The Copyright, Designs and Patents Act 1988 states that material must not be copied, distributed or used for derivative works without the permission of the copyright holder. Such actions are in breach of the law unless the permission of the copyright holder has been obtained, or the rights to process a copyright work are clearly stated. Infringement of copyright is a criminal offence, and both Invest NI and the individual may be held to be liable in law.

It is likely that the scanning of incoming mail falls within a permitted exception to copyright applying to the Crown and it is common practice in many industry sectors e.g. financial services. Note that care must be taken with regard to the scanning of attachments, where the copyright may be held by a third party who is not the author of the letter.

Principle 3: Commercial publications must not be scanned without the permission of the copyright holder, or the authority of an agreement or licence.

Invest NI is currently investigating the purchase of licences to *photocopy* certain types of commercial publications (e.g. books, journals, magazines and newspapers), however these licences do not extend to document *scanning*. For example the licence from the Newspaper Licensing Agency expressly forbids the electronic scanning of newspaper articles into databases.

It should therefore be noted that the scanning of any commercial publication is in breach of copyright, unless the permission of the copyright holder has been obtained or the rights are clearly stated. Guidance on copyright issues can be obtained from Business Information Services and/or Corporate Marketing.

The Business Information Service also holds contracts to access a range of electronic information services and CD-ROMs. The licences vary from product to product but can prohibit the copying of material to in-house databases. Therefore the terms and conditions that relate to a particular source must always be checked prior to copying, to ensure that the action is not in breach of contract.

Principle 4: The scanning of any document subject to Crown Copyright must comply with HMSO guidance.

Works produced by officers or servants of the Crown in the course of their duties qualify for Crown copyright protection, in accordance with the Copyright, Designs and Patents Act 1988. (see www.hmso.gov.uk/guides.htm)

Crown copyright does not cover Parliamentary publications such as Bills, parliamentary papers and official records of proceedings (e.g. Hansard). Ordnance Survey maps are also covered by separate rules.

Principle 5: The scanning of any document commissioned by Invest NI must comply with the terms of any agreements that relate to that document.

The act of commissioning a work does not of itself automatically confer copyright ownership to Invest NI. Unless the commissioning contract makes specific provision for copyright to be assigned or transferred, the copyright will continue to rest with the author. The commissioning body does not even have an automatic right to reproduce or publish the work, unless such use is specifically agreed.

Therefore the scanning of any document commissioned by Invest NI must comply with the terms of the relevant agreement, to ensure that copyright has not been breached.

2.4 Document destruction, duty of care and legal requirements

Principle 6: Where an original source document is scanned, the source document should be destroyed unless there is a business reason why it must be retained.

The original source document should generally be destroyed after it has been scanned, to avoid duplication and minimise administration. However the destruction of original source documents could, in some cases, expose Invest NI to business risk, and each Head of Team/Unit has a duty of care to assess the risks before scanning takes place. There may also be instances where an electronic version in addition to the scanned version of a source document

may need to be retained. In such instances the electronic copy of the source document should be temporarily stored in the document storage area of the EDRMS and the scanned source document will be stored as a record in the file plan.

Principle 7: The risk to the organisation of destroying original source documents must be assessed for each type of document that is to be scanned.

This section is in two parts – duty of care and legal requirements.

There is a duty of care to ensure that the destruction of original source documents does not expose Invest NI to an unacceptable level of risk, and that holding documents electronically is acceptable to others.

Duty of care includes the requirement to consult with third parties, to whom the destruction of original source documents may be significant. This applies particularly to documents that are retained for statutory or regulatory reasons required by external audit bodies or may need to be presented in a court of law. Legal requirements are covered in more detail in section

Therefore, where it is planned to scan a particular category of documents on a routine basis, appropriate bodies should be consulted before scanning commences. This could include regulatory bodies, other government departments, audit functions and legal advisors as appropriate. For some categories of documents it may be advisable to seek advice from the appropriate team within Invest NI e.g. Finance, Human Resources, Internal Audit etc.

It is recommended that decisions regarding which source documents must be retained are recorded in a paper, registered file.

Legal requirements

The legal risk regarding the destruction of original documents concerns the potential reduction of evidential weight, if the documents were to be presented to a court of law. Weight of evidence may be unduly influenced by the destruction of the original document, by the electronic document/record management system or by the access control system. An electronic copy may be rejected in court, and the original document requested.

In some cases the destruction of the original may reduce the evidential value of a document. For example the paper and ink of a disputed signature may provide forensic evidence not present in an electronic copy.

The option to retain source documents after scanning is also not without risk, with regard to how inconsistencies between the two would be viewed in court.

Therefore the risk of destroying original source documents must be assessed in advance, and appropriate decisions made. Legal advice should be sought on which types of documents are most likely to be disputed in court.

The risks associated with the presentation of scanned images in a court of law can be reduced if an organisation can demonstrate compliance with BSI Code of Practice PD0008 'Legal Admissibility and Evidential Weight of Information Stored Electronically'.

PD0008 is a British Standards Institute Code, adherence to which, while not in itself ensuring legal admissibility, is the most robust means of defending the integrity of an electronic record which is currently available.

Note that where there is an explicit statutory requirement to hold certain documents, most modern legislation permits the retention by electronic means, provided that a copy is capable of being reproduced as a written copy at the place where it must be held by statute. There is also no statutory requirement to retain documents that have a signature. In the latter case the significance of the document should guide decisions as to whether the original may be destroyed.

Principle 8: Procedures must be in place to ensure that the scanned image is an accurate and complete copy of the original source document.

Invest NI's scanning procedures follow good practice in accordance with BSI Code of Practice PD0008, and define the required quality level of the scanned image in terms of accuracy and completeness.

Principle 9: The document must be stored as an image file, and the file must not be amended after scanning.

Each scanned document must be held as an image file, and the file must not be amended after scanning. This is to ensure that a complete and accurate copy of the original source document is preserved.

Principle 10: Since there may be a need to determine the authenticity of the scanned image in a manner acceptable to a court of law, and in particular where the original documents are destroyed, scanning procedures should be in accordance with BSI Code of Practice PD0008.

The risks associated with the presentation of scanned images in a court of law can be reduced if an organisation can demonstrate that the scanned image is an authentic copy of the original, and that 'normal working practices' have been complied with.

The BSI Code of Practice PD0008 'Legal Admissibility and Evidential Weight of Information Stored Electronically' describes means by which it can be demonstrated at any time, in a manner acceptable to a court of law, that a scanned image is a true facsimile of the original document.

The scanning process currently implemented within Invest NI is in accordance with BSI Code of Practice PD0008 ie the item to be scanned is stamped, scanned and the scanned copy is then checked against the original.

2.5 Roles and responsibilities

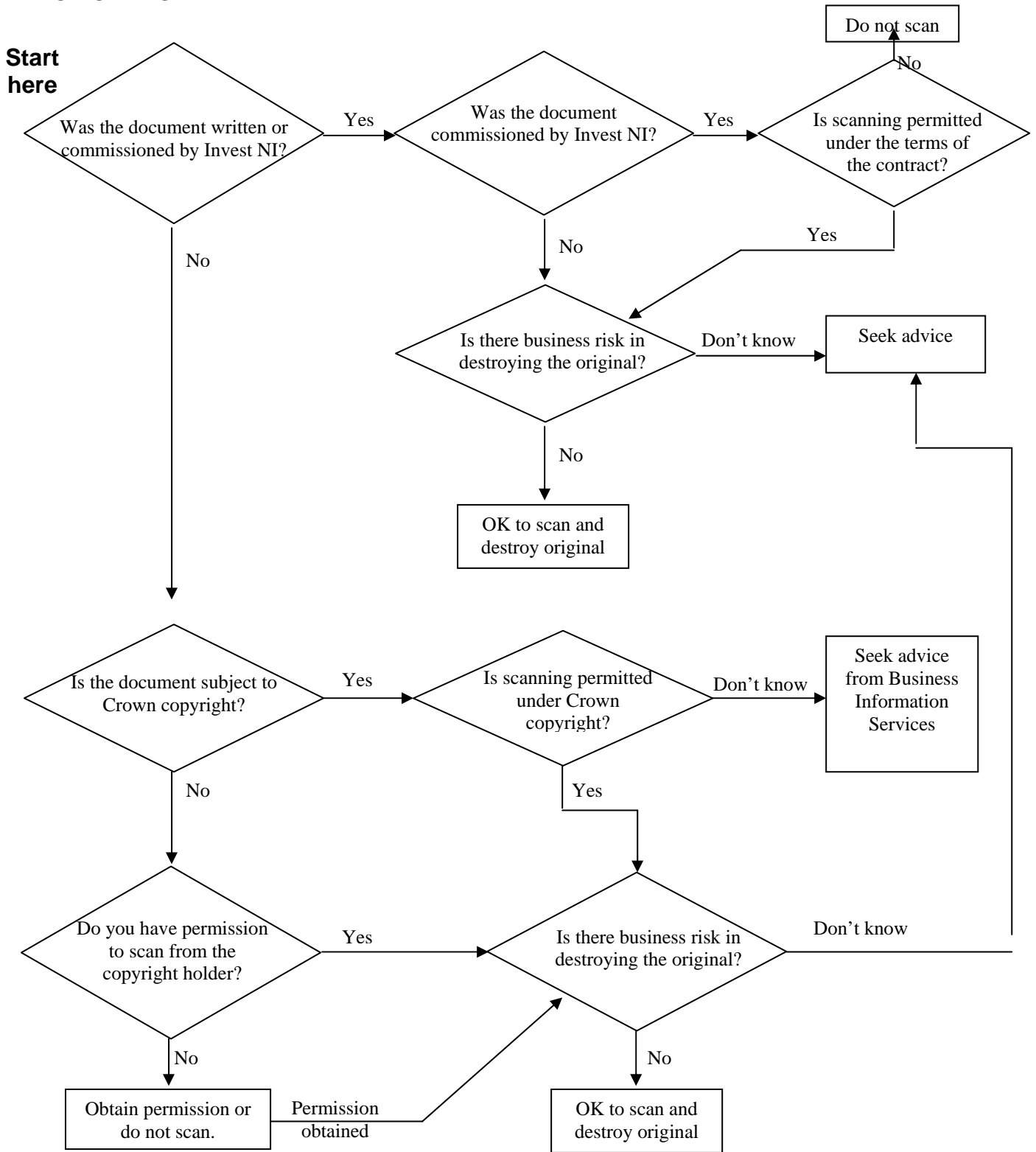
Principle 11: All staff must take responsibility for observing the law regarding copyright, and comply with scanning policies and procedures.

All staff must comply with copyright legislation and follow local procedures with regard to scanning.

Principle 12: The Head of each Team/Unit must exercise a duty of care with regard to document scanning within their unit.

The Head of each Team/Unit has a duty of care to ensure that information is managed effectively within their unit. This includes compliance with statutory obligations under the Freedom of Information, Data Protection Act and Public Records Acts, and ensuring that Invest NI policy on the management of information is followed.

DECISION TREE FOR DOCUMENT SCANNING AND THE DESTRUCTION OF ORIGINALS



SCANNING DOCUMENTS

Introduction

All Invest NI staff are responsible for identifying physical copies of documents or correspondence that meet the defined requirements of a record and therefore need to be scanned.

The criteria for what should be scanned and saved as a record match those that are applied to all other record types.

These criteria are summarised below and are discussed in more detail within the Records Management Policy.

CRITERIA FOR CREATING A RECORD:

Where a document meets one or more of the following criteria it should be declared a record:

- Contains unique or valuable information.
- Reflects a decision or course of action.
- Reflects why something was rejected or approved.
- Outlines why something has or hasn't been done.
- Outlines policy and the rationale for decisions or action.
- Documents planned or completed activities.
- Documents important meetings.
- Enables scrutiny of actions and decisions by either internal or external bodies.
- Protects financial and legal rights.

Invest NI Scanning Procedure

Within each Invest NI business area all staff will be trained in scanning physical documents, declaring them as records within the appropriate folder location in Meridio and adding the required classification information.

The steps which make up the Invest NI scanning procedure are outlined below:

1. Staff identify physical documents that are to be scanned.
2. Staff identify the document type, associated keywords and the location where the scanned document is to be stored.

3. CREATING AN OCR DOCUMENT USING MULTI FUNCTION PRINTERS

WHY SCAN USING OCR?

Optical Character Recognition – OCR is machine recognition of printed characters.

When a text document is scanned into the computer, it is turned into an image, which is a picture of the text, and cannot be edited. OCR software analyzes the light and dark areas of the image in order to identify each alphabetic letter and numeric digit. When it recognizes a character, it converts it into text.

A document created by OCR can be edited it can also be 'searched' for through Meridio.

Scanned documents can be retrieved from Incoming scanned area as below.

MAP A NETWORK DRIVE TO WHERE YOUR DOCUMENT IS STORED

*You only need to do this once.

Right click MY COMPUTER Map Network Drive...

Drive: – usually M:

Folder: Type Folder name for your group from list below.

\\server\Meridio Incoming Scanned\Client Group Entrepreneurship

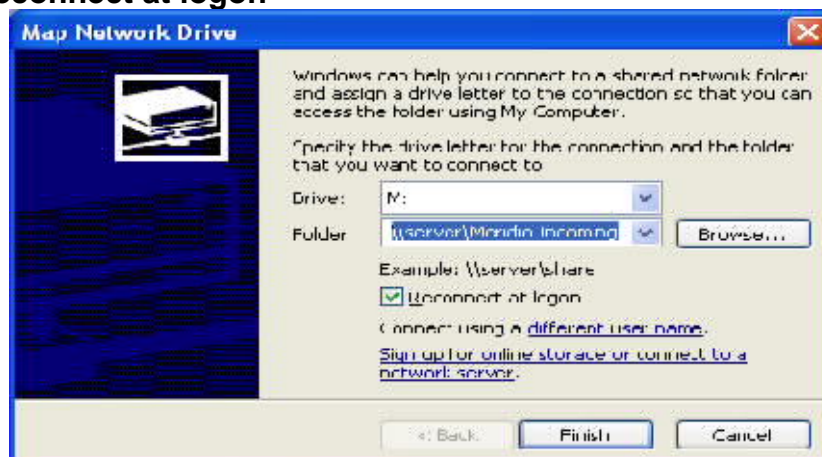
\\server\Meridio Incoming Scanned\Clients Group & Business
International

\\server\Meridio Incoming Scanned\Clients Group & Entrepreneurship

\\server\Meridio Incoming Scanned\Innovation & Capability
Development

\\server\Meridio Incoming Scanned\Corporate Services

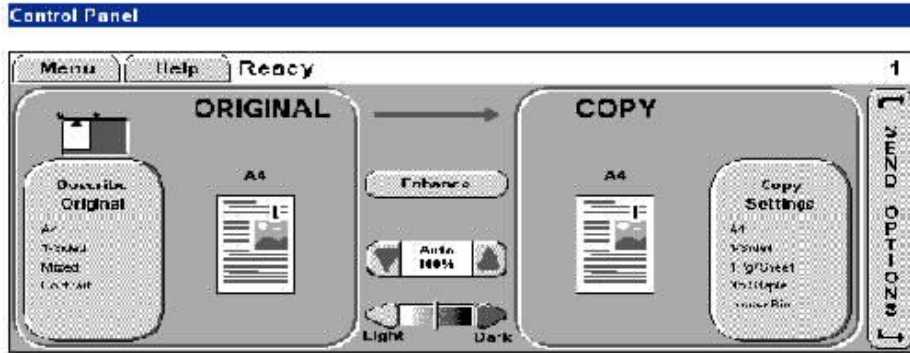
Tick Reconnect at logon



Finish.

OPTION 1. HOW TO SCAN USING OCR Printer Model = MFP9000

Control Panel



Swipe card to log in

Place docs to be scanned in Automatic Document Feeder (ADF) or on glass flatbed.

DESCRIBE YOUR ORIGINAL DOCUMENT e.g. double sided

Select **DESCRIBE ORIGINAL** from printer control panel

It is now possible to

- Set size
- Page orientation
- Number of sides
- Page content

Press **OK**

Select **MENU** - Scroll down to **WORKFLOW**

Select **SCAN (BW)**

Choose your group from

1. Clients Group & Business International
2. Clients Group & Entrepreneurship
3. Corporate Services
4. Innovation & Capability Development

Select **OCR FILENAME** option and use touch keypad to type a name for the file
OK, select **PRESS TO SEND**

Swipe card to logout

OPTION 2. HOW TO SCAN USING OCR Printer Model =MFP9040 / MFP9050 / MFP4345

Control Panel



Swipe card to log in (only in HQ building)

Place docs to be scanned in Automatic Document Feeder (ADF) or on glass flatbed.

Select **WORKFLOW** from control panel

Select **SCAN(BW)** for Mono or **SCAN(Colour)** for Colour image

Choose your group from

1. Clients Group & Business International
2. Clients Group & Entrepreneurship
3. Corporate Services
4. Innovation & Capability Development

DESCRIBE YOUR ORIGINAL DOCUMENT e.g. double sided

Select settings – Describe Original from control panel

It is now possible to

- Set size
- Page orientation
- Number of sides
- Page content

Press **OK**

Select **OCR FILENAME** option, use touch keypad to type a name for the file, **OK**,
Select **START**

Swipe card to logout (only in HQ building)

When a large number of pages are scanned, control panel will display Processing Digital Send Job until processing complete. MFP may still be used by others to print.

TO RETRIEVE YOUR OCR DOCUMENT

Open the mapped network M: drive

Move the document from M: to the Fileplan (using the Meridio Dropzone, or drag and drop into Fileplan)

Delete scanned document from M: when finished

