State Records

Digital Archives Migration Methodology

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1   Overview

Migration is the process for transferring information from one system or storage type to another. It can be required for a number of reasons. These could include:

- moving from one software/hardware platform to another
- decommissioning legacy systems
- business process redesign
- administrative change
- technological obsolescence

Migration is an effective strategy for digital continuity and preservation which ensures that information in digital format remains accessible for as long as it is needed.

Digital records can exist in many different forms such as:

- recordkeeping systems
- business systems
- content management systems
- on websites
- in cloud storage
- in Web 2.0 applications
- as unstructured information in network drives, personal drives, email applications and on physical media such as floppy discs, CDs, DVDs and portable media carriers such as USB sticks and portable hard drives

Technology is ever changing and presents new options for information to be stored, managed, accessed and used. Whilst these options are growing there is an increasing burden on agencies to maintain accessibility and functionality for records that are no longer used for business purposes but need to be retained. This means that migration of some kind is inevitable otherwise large numbers of digital records are at risk of becoming inaccessible.

State Records NSW is implementing a Digital Archives to provide a means of accepting, preserving, storing and making accessible permanent value digital records required to be retained as State archives. The Digital Archives is part of the State Records NSW overall Future Proof strategy to support digital continuity for whole of government in NSW.

State Records NSW has identified that the transfer of permanent value agency digital records required as State archives to the Digital Archives will be undertaken as a migration. The purpose of the migration methodology is to provide a structured framework to manage these migrations. The focus of the methodology has been on developing a management tool for migrations to the Digital Archives. However, it has been identified that this methodology represents a useful management tool available to agencies who are seeking to ensure the digital continuity of their records through migration.

2   Migration risks

State Records NSW has published material on migration as a digital continuity and preservation approach in *Guideline 22 – Managing digital records: 4. effectively manage the migration of your digital records* as well as *Approaches to digital records preservation*. Whilst migration is an effective digital continuity and preservation method it does need to be managed effectively. The migration of

digital records between systems can be a complex process, particularly where it is necessary to cleanse data, map metadata schemas and incorporate recordkeeping requirements such as sentencing and disposal.

It is acknowledged that migrations:

- are complex with many different elements to assess and manage
- are high risk activities
- can be costly
- require effective planning
- involve multiple stakeholders from different professional disciplines
- require collaborative arrangements
- require high levels of communication
- generally involve lengthy timeframes
- may be subject to change
- require identification of relevant standards, regulations and best practice
- require documentation for accountability and audit

Unfortunately, migrations can be poorly planned, managed and executed. This creates risks such as data loss, degradation of functionality and inaccessibility of digital records that impact on the ability of agencies to meet the requirements of the *State Records Act 1998* and other related NSW legislation outlining requirements for information management, including requirements for ongoing access and use of information.

3   Migration methodology

The migration methodology is not a procedures manual, nor is it a standard or guideline. It is a management tool consisting of a structured framework and a set of defined methods. A project-based approach is employed to support the migration of permanent value digital records no longer in use in agencies to the State Records NSW Digital Archives.

With the rapid changes and advances in technology new tools, services, infrastructures and applications will continue to appear. Standard approaches to migration do exist such as Extract, Transform and Load functions. However, it is impossible to cover every likely migration scenario or codify all of the possible actions and activities that may be required to undertake migrations effectively and successfully.

Some examples of migration scenarios are listed in the following table although it should be noted that these are general examples and not all of these result in a migration to the Digital Archives:

Example migration scenarios
Decommissioning a legacy business system where only some of the information is required for permanent retention as an archive
Migrating from a software/hardware platform that will soon be unsupported to a new software/hardware platform as part of technological change through ICT infrastructure upgrade where all information from the source software platform will be required for continued business use in the new software platform
Decommissioning a legacy business system and a separate but related/linked document management system where all of the information in the legacy system is required for permanent retention as an archive

and only some of the digital files stored in the document management system are required for permanent retention as an archive
Migrating unstructured digital files in a network directory to an Electronic Document and Records Management System
Migrating unstructured digital files in a network directory to a Web application platform
Migrating from a legacy business system to a new business system where only some of the information from the legacy business system is required in the new business system and the remaining information from the legacy business system is required for medium term retention for reference use
An agency is rolling out a Master Data Management initiative to consolidate business information assets from a number of different business systems
Migrating digital files no longer required for business use but required for permanent retention from an Electronic Document and Records Management System to permanent archival storage

Table 1 Example migration scenarios

Given the variety of possible migration scenarios and associated requirements, an important feature of the migration methodology is having an adaptable, scalable and flexible model that can be used to manage migration projects regardless of the migration scenario involved.

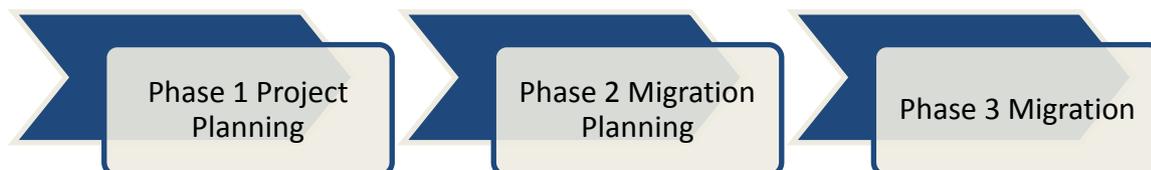The methodology breaks migration projects up into three phases:

Phase 1 Project Planning

Phase 2 Migration Planning

Phase 3 Migration

Figure 1 Migration methodology phases

Breaking migration projects into three phases provides a simple structure at the top level of the migration methodology. As a project based approach to migrations, the methodology is designed around a structured planning process, both at the project level and migration level. The Project Planning phase breaks migration projects into manageable stages with defined activities and deliverables. Similarly, the Migration Planning phase assists in managing the migration by defining the process that is undertaken in the Migration phase.

The activities and actions that take place during each phase can be determined based on the requirements of each migration project. However, each phase includes these components:

Phase 1 Project Planning
- Project start up
- Project plan

Phase 2 Migration Planning
- Migration assessment
- Migration plan

Phase 3 Migration
- Migration preparation
- Migrate
- Migration validation

Figure 2 Migration methodology phase components

These components provide a high level definition of what is involved in each of the phases. They provide direction about what needs to occur without being prescriptive at a granular level. This allows migration projects to be tailored to suit their requirements, providing adaptability to the

migration methodology model. To allow for scalability and flexibility the methodology can expand or contract to manage the scope and complexity of a migration.

The three phases contained in the migration methodology provide the basis for a logical sequence through project planning, migration planning and the migration itself. As migration project deliverables, the project plan manages the overall migration project and the migration plan manages the migration. This logical sequence sets a structured framework for project planning and migration planning activities.

Whilst migration projects will be tailored to their requirements, there are activities and actions that will be commonly required. These include:

- Overall project planning to determine roles and responsibilities, project scope, costs, risks and timeframes
- Determination of the records as permanent value requiring retention as State archives
- Assessment of access requirements and restrictions both for agency and public access
- Description of the records to provide ongoing management and access in the State Records control system
- Format assessment to identify any transformations required for digital continuity
- Metadata assessment and mapping
- Migration planning to outline the migration process including the migration path, timeframes and resourcing
- Preparation, testing and validation for migrations

Although related to the Digital Archives system, the migration methodology is not the system itself. The relationship between the methodology and the system exists where the workflows and processes within the system design can support completion of migration project activities and actions that are being managed using the migration methodology to deliver outputs required to move migration projects through to completion.

3.1 Component methods

Migrations require stakeholder engagement and the bridging of professional boundaries. To address this, the migration methodology incorporates a number of separate but related methods that include:

- Project management
- Business management
- Records management
- ICT management

Methods are defined as professional disciplines with defined skill sets, knowledge, capabilities, standards, requirements and processes. Breaking the migration methodology up into identifiable component methods is a useful way of:

- recognising and managing the complexity that is often involved in migrations
- identifying migration project stakeholders and defining their roles and responsibilities
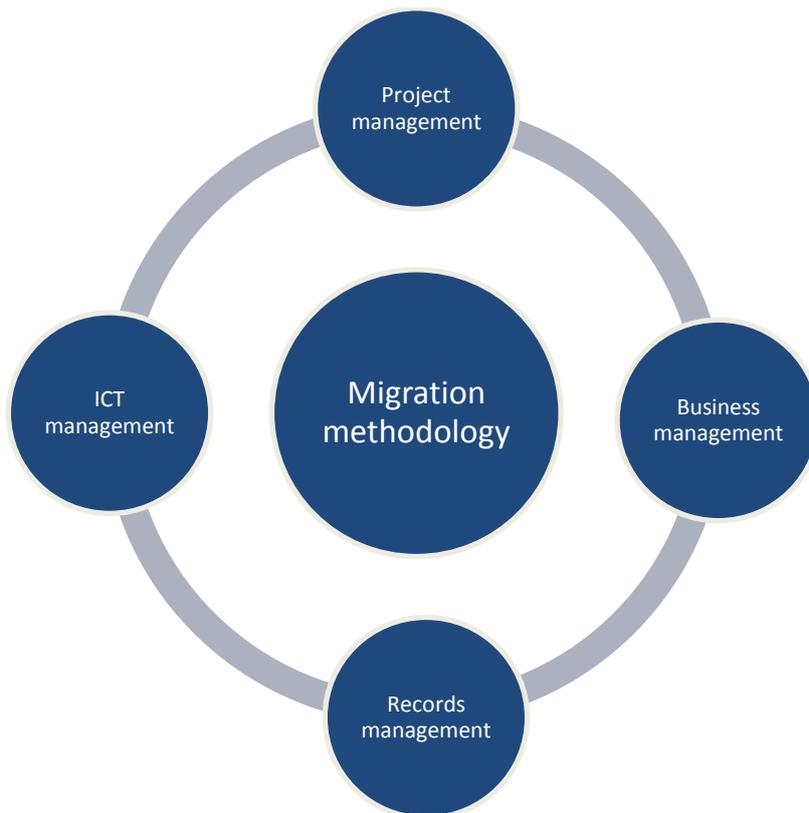
Figure 3 Migration methodology component methods

These methods provide accountability, structure, consistency and best practice and can be co-ordinated to produce required outcomes from migration projects. The methodology allows that these methods will intersect throughout the course of the migration project as part of a collaborative process and each will have input into how the migration proceeds throughout the project lifecycle through to completion.

It is acknowledged that migrations will differ so there needs to be flexibility in how the methods for project management, business management, records management and ICT management are engaged and utilised as part of migration projects. The following table outlines the roles of each of the component methods:

Project management	Project management provides the planning and reporting structure that allows effective management of: • project scope • resourcing • costs • risks • timeframes • deliverables Project documentation such as the project plan, risk and issue logs/reports, Gantt charts, status reports and stage reports are useful tools to manage projects. The project management method used should be tailored to suit migration projects in line with the adaptable, scalable and flexible model of the migration methodology. The responsibility for leading the project and providing overall project management should be identified as part of the process of defining roles and

	responsibilities during project stakeholder identification. Project governance and project management may be shared responsibilities between State Records NSW and agencies. Project management is used throughout the migration project lifecycle.
Business management	Business management incorporates: • business owners of the records • business knowledge about the records • business users of the records • the procedures and processes supporting records and systems • business process analysis • business process redesign or re-engineering The business owner of the records should be able to: • identify drivers for migration projects • identify business justification for migration projects • collaborate with resourcing for migration projects • ensure ongoing sponsorship and support for migration projects The business is a key stakeholder in the migration project and, as the identified business owner of the records, plays an integral role as one of the key decision makers. The business owner of the records provides approval for the formal transfer of custody and control of permanent value digital records from an agency to State Records NSW. This is an integral component of migration projects covering migrations to the Digital Archives.
Records management	Records management identifies requirements for the management of records in relation to statutory, regulatory and legislative requirements. The *State Records Act 1998* is central to this although other key legislation includes the *Privacy and Personal Information Protection Act 1998*, the *Government Information (Public Access) Act 2009* and any other legislation that may be relevant to the management, access and use of government information managed by agencies operating in specific functions and domains of activity. Records management determines the retention requirements for records. These requirements are defined in general and functional disposal authorities registered by State Records NSW. These disposal authorities incorporate appraisal, sentencing and disposal functions. Different disposal requirements for records include: • records that can be destroyed after a specified period of time has elapsed • records that need to be transferred to other agencies during administrative change • records that need to be maintained for lengthy periods of time • records that need to be retained permanently as State archives Where records need to be retained permanently as State archives, the procedures and processes for the transfer of permanent value records as State archives is also incorporated into records management. This includes migration of permanent value digital records to the Digital Archives. The skill

	sets and resources for records management may come from both the agency and State Records NSW although there will be cases when the agency does not have adequate resources.
ICT management	ICT management encompasses: • management of agency ICT infrastructures inclusive of software and hardware configurations/platforms • ICT roles, responsibilities and professional expertise required in undertaking migrations. The technical skill sets involved in undertaking migrations can include in-house expertise within agencies and also specialist roles that can be provided either internally where available or by external stakeholders such as vendors and consultants. ICT represents an important stakeholder within migration projects because of the strong relationship with agency business divisions and units. ICT provides essential services to the business regarding the management of records including storage and access for users of agency records. ICT also has a strong relationship with records management to ensure the ongoing accessibility and usability of agency records. The ability to undertake migration projects effectively requires ICT stakeholders to have a close and collaborative role in project planning and migration planning as well as the migration itself. This role includes not only ICT skill sets but also resources to support the migration project. Depending upon the migration project involved these resources may be sourced internally or externally to the agency and State Records NSW.

Table 2 Migration methodology component methods

3.2 Migration projects

Employing a project based approach as part of the overall migration methodology provides an opportunity to identify and define the core requirements, core goals and core outcomes for migrations of permanent value digital records to the Digital Archives. Depending on the migration project, these core groupings can have additional requirements, goals and outcomes covering areas such as technical requirements for the migration, data cleansing and disposal, preservation actions, storage, access and use.

3.2.1 Core requirements
- Digital records are identified as required as State archives which allows control of the records to be transferred from agencies to State Records NSW under the *State Records Act 1998*
- Digital records are no longer in use for official purposes and do not need to be retained by the agency
- Digital records are or can be covered by an Access Direction
- Digital records can be described as a Series or as a logical grouping that provides understanding of context and ongoing management for access
- Digital records contain the minimum required metadata as defined in the State Records *Standard on Digital Recordkeeping*
- Digital records are accessible as defined by s.14 of the *State Records Act 1998*

- State Records NSW is able to accept transfer of custody and control of the digital records identified for migration
- A project plan is negotiated and approved by State Records NSW and agencies and is used to manage migration projects
- A migration plan is negotiated approved by State Records NSW and agencies and is used to manage migrations

3.2.2 Core goals

- Determine the best approach for each migration project including preservation actions, metadata mapping, access requirements and migration strategies and activities
- Use existing knowledge and lessons learned as part of migration project activities
- Create a collaborative approach to migration projects
- Provide digital continuity learning opportunities for State Records NSW and agencies

3.2.3 Core outcomes

- Migrations are effective and undertaken based on migration plans
- Permanent value digital records are managed ongoing by State Records NSW in the Digital Archives including provision for preservation and access
- Agencies continue to have access to their permanent value digital records if and when required
- The public can use open access digital format State archives that document NSW Government decision making, functions, history, heritage and the rights and entitlements of citizens
- Lessons learned during migration projects are captured and used for future migration projects and as part of ongoing development and review of the migration methodology

4   Phase 1: Project Planning

The first phase in the migration methodology encompasses project planning. The migration methodology separates project planning from migration planning. This separation allows a project management structure to be built around the migration project with a separate process established for more detailed planning around the migration itself. This requires effective project planning activities to be undertaken in Phase 1 that define the high level migration project requirements. This both enables and supports overall project decision making as well as decision making during Phase 2 as part of migration planning.

Project planning activities should be tailored to suit the specific needs of each migration project thereby allowing the migration methodology to be adaptable, scalable and flexible. Planning needs to take into account the scope and context of the migration. The key deliverable from project planning activities is the project plan which acts as a road map throughout the migration project lifecycle.

In addition to the project plan there are other project management tools that can be used to document and manage project operations. These include (but are not limited to) the following:

- Risk register/log
- Issue register/log
- Status reports

- Risk reports
- Issue reports
- Stage plans and reports
- Gantt chart
- Change management assessment
- Communications plan

A vital part of project planning is stakeholder identification and engagement. Project stakeholder groups will vary depending on the type and scope of migration involved. Project teams are often cross functional and can include representatives of all the component methods in the migration methodology including project management, business management, records management and ICT management. It is important that the planning process identifies and engages with project stakeholders from the outset. The goal of this stakeholder engagement is to build a collaborative framework early on in the migration project.

Although Phase 1 in the migration methodology focuses on project planning it is important to acknowledge that the project management method that is used will be deployed throughout the migration project to ensure the overall project is managed effectively.

4.1 Project planning components

The following table outlines the components that make up Phase 1 Project Planning:

Project start up	There will be different drivers for commencing a migration project to migrate digital records to the Digital Archives. Some examples of potential drivers include: - Technological obsolescence - Storage costs or limitations - Administrative change - Records no longer required for business use - Routine disposal of records Depending on the driver(s) for the migration project it is expected that agencies will contact State Records NSW regarding a suitable course of action. Once contact has been made preliminary investigation will be required to determine what action is required. The preliminary investigation is an important means of assessing the core requirements for the migration project including: - Status of the records based on existing disposal authorisations to determine whether the digital records are required for permanent retention as State archives - Business requirements for use of the records - Accessibility of the records Where the intention is to transfer digital records to the Digital Archives as the migration target, the records must be identified as required for permanent retention as State archives for the migration project to proceed through to start up. Preliminary investigation also allows some initial overall planning as part of project start up. Activities at this stage include: - project scoping - stakeholder identification - stakeholder engagement

	• identifying project drivers • identifying business justification for the project • obtaining project sponsorship support • identifying agency resources and capacity • identifying State Records NSW resources and capacity Once preliminary investigation is complete and the migration project has proceeded through to start up the next step is to establish the project plan.
Project plan	To support the delivery of the project plan, further information gathering can build upon preliminary investigation undertaken as part of project start up activities. In cases where core requirements for the project are easily established there may not be a clear definition between preliminary investigation and information gathering activities. Information gathering captures greater detail about the overall migration project. The details captured during information gathering support project planning activities undertaken throughout phase 1 to produce an effective project plan. The project plan enables the following: • Ability to maintain business justification for the project • Identify and use lessons learned where available • Establish project governance that allows effective communication and reporting • Identify project stakeholders • Define roles and responsibilities • Manage project resources • Manage required changes to project operations • Manage project targets and deliverables • Manage project schedules and timeframes • Identify project costs • Manage project issues and risks In addition to the above and depending on the context of the migration there are other factors that may be involved during project planning such as business process re-design, service oriented design, organisational restructuring and change management. The project plan should reflect the complexity of the migration which allows the migration project to be tailored to suit its context. This supports the adaptability, scalability and flexibility of the migration methodology. In order for migration projects to move on to Phase 2 Migration Planning the project plan must be approved by State Records NSW and agencies. In this regard the approved project plan is not only a key project deliverable but also an important project trigger to move from Phase 1 to Phase 2 in migration projects.

Table 3 Phase 1 Project Planning components

5 Phase 2: Migration Planning

The second phase in the methodology is migration planning. This builds on details captured in the project plan as part of information gathering in Phase 1. The purpose of migration planning in Phase

2 is to develop a detailed migration plan that is approved by project stakeholders and used to manage the migration in Phase 3.

As already noted, migrations can be complex, time consuming and involve risks. Once in Phase 2 of the migration project, there is the possibility that issues will be uncovered during migration planning when the migration project is already approved and underway. This is mitigated by the following:

- Based on completion of Phase 1 of the migration methodology, a project management structure is in place and issues uncovered during migration planning can be managed using project management methods
- Phase 2 in the migration methodology focuses on migration planning prior to the actual migration taking place in Phase 3 which means that issues can be identified, assessed and managed appropriately before the migration itself is underway
- If required, issues can be assessed against the business justification and the project scope identified during Phase 1 project planning and any required changes can be made accordingly as part of determining that the project remains justified and can continue to be supported

There are many possible migration scenarios and the migration methodology is designed as an adaptable, scalable and flexible model to assist in managing the diversity. Information gathering during project planning in Phase 1 supports project start up and provides the foundation for migration assessment which informs the activities that will be required during Phase 2. Migration planning activities deliver the migration plan which is used to manage the migration.

Like the project plan, the migration plan can be tailored to the type of migration involved allowing it to be adaptable, scalable and flexible. This addresses the fact that migration projects and their associated requirements will vary although, over time, it is expected that the capture of lessons learned will identify common factors and requirements.

5.1 Migration planning components

The following table outlines the components that make up Phase 2 Migration Planning:

Migration assessment	Migration assessment covers a broad spectrum of possible activities that will be applicable to the type of migration involved. The migration may involve digital objects or whole databases.
	The kinds of assessment activities that will be required will be identified during project planning. However, assessment activities need to be adaptive and responsive to address the requirements of the migration project identified during migration assessment.
	Effective assessment is essential to identify what is required for the migration as part of decision making in the migration planning process. This includes technical issues as well as requirements for the ongoing management of and access to records that are migrated to the Digital Archives.
	Broadly, assessment involves the following areas:
	- format analysis and identification - required preservation actions - required mappings (data, metadata, source to target) - requirements for ongoing access and use of information - description of the records being migrated

	• registration of information in State Records NSW control system required for ongoing management of and access to migrated digital State archives The outputs from migration assessment activities are used to determine how the digital records will be migrated to the Digital Archives. This is outlined in the migration plan.
Migration plan	Whilst the project plan is used to manage the overall migration project the migration plan manages the migration which is undertaken in Phase 3 of the migration methodology. The migration plan is established based on the analysis of migration assessment outputs. There should be a high level of stakeholder engagement in the development of the migration plan which can be an iterative process. Any additional costs or risks identified as part of migration assessment should be added to the costs and risks management components of the project plan. The migration plan details how the migration will be undertaken and enables the following: • Define required actions including format transformations, source to target mapping and metadata mapping • Define required actions including preservation and metadata mapping • Define access requirements (agency and public access) • Define how the migration will be tested (pre and post migration) and the migration validation • Determine action on source records and decommissioning planning • Manage the migration schedule and timeframes • Manage roles and responsibilities • Manage resources The migration plan becomes one of the key project documents along with the project plan and any other document based project management tools being used. Issues and risks need to be managed uniformly as part of the project plan. Decision making on any adjustments to the migration project need to be reflected in all the key project documentation. As with project plans, in order for migration projects to move on to Phase 3 Migration the migration plan must be approved by State Records NSW and agencies. In this regard the approved migration plan is not only a key project deliverable but also an important project trigger to move from Phase 2 to Phase 3 in migration projects.

Table 4 Phase 2 Migration Planning components

6   Phase 3: Migration

The last phase in migration projects is the actual migration which is managed according to the migration plan developed in Phase 2 based on analysis of outputs from migration assessment activities. The project planning and migration planning activities undertaken in Phases 1 and 2 prepare the groundwork for undertaking the migration in Phase 3.

Throughout the Migration phase the project plan continues to provide the road map for the overall migration project and the migration plan provides the blueprint for the migration itself. The details

contained in the migration plan outline the activities and actions required to migrate digital records to the Digital Archives repository. This includes the workflows required within the Digital Archives system.

The migration will rely both on effective planning undertaken in phases 1 and 2 and effective collaboration among migration project stakeholders. This includes co-ordination and collaboration of migration project stakeholders representing the component methods in the overall migration methodology.

In the methodology migrations are broken up into three components that have a sequential relationship from migration preparation through to validation of the migration and completion of the migration project.

6.1 Migration components

The following table outlines the components that make up Phase 3 Migration:

Migration preparation	Migration preparation covers the actions that are required to be undertaken before the migration is commenced. What is required as part of migration preparation will have been identified during migration assessment and outlined in the migration plan. Migration preparation activities can include: • data cleansing • migration coding • training • project stakeholder workshops • pre-migration testing • any other required activities identified in the migration plan It is essential that the pre-migration testing process provides suitable outputs for evaluating the migration process, identifying issues and determining fixes. Pre-migration testing can be an iterative process based on defined functionality and requirements for migration outcomes. Sampling can be used to address pre-migration testing where, for example, there is a large volume of records involved. Where Extract, Transform and Load functions are being performed these need to be tested to ensure that the required outputs are being generated. Outputs from testing may require changes to the migration and overall project timeframes. Documentation needs to be adjusted accordingly.
Migrate	The planning throughout phases 1 and 2 as well as migration preparation activities outlined in the migration plan set the groundwork for the migration. Digital records are migrated to the Digital Archives repository according to the migration plan (inclusive of any required changes based on outputs from pre-migration testing). The migration of records to the Digital Archives incorporates automated and customisable workflows in the Digital Archives system which will be deployed based on determinations from migration assessment and as outlined in the migration plan. It is important that migration preparation activities are undertaken effectively. Any issues or errors encountered during migration that require fixes may require the migration to be re-tested and re-run. This may require changes to the migration

	project and migration schedules which need to be documented.
Migration validation	The migration plan outlines what is involved in post-migration testing. It is essential that the post-migration testing process provides suitable outputs for evaluating that the migration has been completed successfully. If any errors are identified or any issues require fixes then these will need to be addressed before the migration can be deemed complete. This may require the migration to be re-run and tested and validated including documented adjustments to migration project and migration schedules.
	Included with migration validation is the action required on source records as outlined in the migration plan. Source records are what remain in the source system once a migration is completed and data has been migrated successfully to the target system.
	The minimum requirement for retention of source records is 6 months after successful completion of a migration according to State Records NSW General Disposal Authorisation GA 33 – *Source records that have been migrated*. Retention of source data is detailed in the migration plan and forms part of decommissioning planning where whole systems are being retired.
	Once the migration has been validated and all required actions in the migration plan and overall project plan have been completed the migration project can be closed.

Table 5 Phase 3 Migration components

6.2 Migration project completion

The timeframe for project completion will depend upon the migration project including what has been determined as part of project planning and project scope. The validation of a migration results in the records having been successfully migrated into the Digital Archives repository. Once the migration has been successfully completed State Records takes custody and control of the records from the transferring agency in accordance with Part 4 of the *State Records Act 1998*.

Agencies will have access to their records that have been migrated to the Digital Archives when required. Records migrated to the Digital Archives will be open to public access based on the access direction that was determined by the agency in consultation with State Records during the migration project. If records migrated to the Digital Archives are closed to public access agencies must continue to make determinations on access requests made under the *Government Information (Public Access) Act 2009*.

Source records retained in the agency may be subject to decommissioning planning undertaken by an agency. Decommissioning planning can form part of the migration plan or may be separate to this; e.g. a decommissioning plan may be the driver for migrating records to the Digital Archives where the records are no longer in business use but are required as State archives and must be retained permanently.

Where it is identified that source records from a migration project will not be retained by an agency this disposal must be authorised by the agency in accordance with GA 33 – *Source records that have been migrated*. This involves the minimum requirement to retain source records for 6 months after successful completion of a migration. If an agency has decided to retain source records from a migration project, this decision may be reverted at a later stage post migration project completion but the disposal will still need to be authorised by the agency accordingly.

Once records are migrated to the Digital Archives, State Records is responsible for repository management, preservation planning and access (to agencies and/or the public depending on the access direction[s] in place). Migration is an integral part of this ongoing management and is factored into repository management and preservation planning. State Records NSW will use the migration methodology to manage migrations required for digital continuity purposes as part of the operations of the Digital Archives.

7 Appendix A - Migration Methodology Checklists

7.1 Phase 1 Project Planning

Phase 1 Project Planning checklist	
Migration project drivers have been assessed	
Migration project stakeholders have been identified	
Migration project stakeholders have been engaged	
Preliminary investigation is complete	
The migration project meets core requirements	
Information gathering is complete	
The migration project is justified	
The migration project is supported	
The migration project scope has been defined	
The migration project can be resourced	
The project plan has been drafted	
The project plan has been approved	
Risk and issue management in place	
Project governance has been established	

7.2 Phase 2 Migration Planning

Phase 2 Migration Planning checklist	
The migration scenario has been analysed	
Assessment requirements have been determined	
Migration assessment outputs have been analysed	
Migration requirements have been determined	
Action on source records has been determined	
Any additional risks have been identified	
The migration strategy has been determined	
The migration can be resourced	
Migration assessment is complete	
The migration plan has been drafted	
The migration plan has been approved	
The migration schedule is in place	
Roles and responsibilities have been defined	
Risks and issues have been monitored and managed	

7.3   Phase 3 Migration

Phase 3 Migration checklist	
Migration preparation activities have commenced	
Pre-migration testing has commenced	
Any errors from pre-migration testing have been identified and fixed	
Pre-migration testing is complete	
Migration preparation activities are complete	
Any required changes to the migration plan have been made	
Records are migrated to the Digital Archives repository using defined workflows	
Post-migration testing has commenced	
Any errors from post-migration testing have been identified and fixed	
Post-migration testing is complete	
The migration is validated	
Risks and issues have been monitored and managed	
Action on source records is complete	
The migration project is complete	

8 Appendix B - Glossary of Terms

Access	Agencies transferring records to State Records NSW continue to access these records when required. In terms of records being made available to the public the underlying principle of the *State Records Act 1998* is that all records of continuing value will be publicly available in due course. Part 6 of the State Records Act creates a framework for regulating public access to State records which have been in existence for at least 30 years (the 'open access period'). The 30 year period has been determined on the basis that most records no longer affect significant interests or are considered sensitive after this time has passed. There is presumption that most records will be open after 30 years.
Access direction	Public offices are required to make an access direction (to determine whether the records are open or closed to public access) for all their records which are in the open access period. An access direction is a direction that a series, group or class of records is open to public access ('OPA') or closed to public access ('CPA').
Accessible	Digital records contain specific functionality and require software to be opened, viewed and understood. Section 14 of the State Records Act requires agencies to ensure digital records remain accessible so that the information they contain can be used into the future.
Appraisal	Appraisal is the process of evaluating agency business activities to determine which records need to be created and captured into recordkeeping systems and how long the records need to be kept to meet business needs, the requirements of organisational accountability and community expectations.
Data cleansing	The process of assessing source data and making required changes before it is migrated to a target system. This can include a number of different actions based on the results of assessment and the requirements for migrating to the target system.
Digital Archives	The infrastructure managed by State Records NSW to allow transfer of permanent value digital format records from agencies where these records are identified as State archives.
Digital continuity	Ensuring that information in digital format can continue to be used over time to avoid information loss and degradation.
Digital preservation	The policies, strategies and actions that outline required measures to be taken to ensure that information in digital formats remains accessible.

	Digital preservation supports digital continuity.
Disposal	Disposal is a range of processes associated with implementing disposal actions. It can include destruction of records, retention of records that are still required for business use, transfer of records to another agency or transfer as State archives.
Disposal authority	The purpose of a retention and disposal authority is to identify those records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other records created and maintained by NSW public offices, after minimum retention periods have been met. Includes General Disposal Authorities (authorities that have general coverage) and Functional Disposal Authorities (authorities that are related to a specific agency).
Record	Information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business. (AS ISO 15489 *Records Management*) Any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other many or by any other means. (*State Records Act 1998*)
Sentencing	This is the process of implementing appraisal decisions with respect to an agency's identified records retention requirements. Sentencing will generally be done in accordance with a retention and disposal authority approved by State Records. Sentencing entails identifying and classifying records according to a retention and disposal authority and applying the retention period and disposal action specified in the authority.
Series	A series comprises those records or archives having the same provenance which belong together because: - they are part of a discernible filing system (alphabetical, numerical, chronological, or a combination of these) - they have been kept together because they result from the same activity, or - they are of similar formats and relate to a particular function.
Series information	Information that is provided by an agency covering records that belong together as an identified series. Series information is compiled in a form that is available on the State Records NSW website.

Series registration	Series information that is submitted by an agency is subject to a review and approval process. Once approved it is registered into the State Records NSW control system. Each registered series is allocated a unique number with the prefix NRS.
State archive	State records of continuing value that have been designated as required as State archives in an approved, current disposal authority and which are no longer in use for official purposes.
Transfer	The process of changing the physical custody of archives, generally without changing the legal title of the material. A transfer may include one or more consignments.