Digital transfer information gathering checklist

1 Purpose

This 'Information Gathering Checklist' has been designed to help in early discussions between Archives New Zealand and a transferring public sector organisation. It is intended to assist in assessing whether a particular digital transfer is feasible.

The checklist is used to:

- Gather information about the organisation's information system(s) to understand how it works and how digital information and records (digital records) are created and maintained in the system
- Gather information about the digital records identified by the organisation as eligible for transfer
- Provide information on our requirements for creating an extract or copy of the identified digital records.

Throughout the process of populating this checklist, it is expected that we will discuss current capabilities in processing the digital records as a transfer, for example, at our end, capabilities in Rosetta (the digital preservation system) and Collections (the archival management system).

Transferring organisation	Date completed	Completed by

2 Process

Step	Actions	✓
1.	Gather information about the source information system(s), to understand how the system works and how digital records have been created and maintained in the system.	
1.1	Please provide an overview of the system(s), for example: - Describe and list the history, for example, earlier information systems/shared drives that have had digital records migrated to the system and how have they been migrated into it. - Describe how users interact with the system/create digital records within the system, for example, whether there is a customised interface and what it is.	
1.2	Please state or estimate the total size of digital records in the system, for example, 5 terabytes or approximately 10,000 born-digital/digitised records.	
1.3	Please provide documentation about the system, for example, record-level documentation, table relationship documentation, high-level overview, user-documentation, etc.	
1.4	Is there a way to differentiate between born-digital, digitised and hybrid born-digital and physical records in the system? If so, please describe.	

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Step	Actions	✓
1.5	Please provide an overview of the process of sentencing digital records in the system and how that occurs.	
1.6	Is there a way of determining the authoritative value of digital records in the system (for example, ensuring that drafts and finals versions are identified)? If so, please describe.	
1.7	Please provide a list of all the metadata fields available to both front-end users and back-end users of the system.	
1.8	Please provide definitions/descriptions for all of the metadata fields that are available to both front-end users and back-end users of the system.	
1.9	What metadata/relationship requirements are necessary to display in order for front-end users and back-end users to gain access to the digital records if they are transferred to us?	
1.10	Please describe which data standards have been used for coding or authority fields etc.	
2.	Gather information about an eligible set of digital records for an initial test extraction or copying.	
2.1	Is there a discrete set of open access digital records (of archival value) in the information system that could potentially be used as an initial test extract? If so, please describe, for example: - What the records are about. - The relevant disposal authority under which they are eligible for transfer to Archives NZ. - If the records do not met the minimum retention period, why an early transfer option is requested.	
2.2	Have any of the digital records within the set been migrated from another system? If so, please describe.	
2.3	Please provide an estimate of the likely level of duplication of the digital records within the set, for example, whether it's minimal, occasional, high.	

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Step	Actions	✓
2.4	Are the digital records in the set all 'open access' or are there some that are 'restricted access'? If so, please describe which ones are restricted and what the restriction details are.	
2.5	Are there any digital records in the set that have password, encryption, digital signatures, or other features that could restrict our ability to work with them in a testing capacity? If so, please describe which ones these are and how these features could be temporarily removed.	
2.6	Have any of the digital records in the set been technically modified (for example, a conversion of file format or system migration) since their creation? If so, please describe what and when.	
2.7	We can provide some technical advice but internal IT support from within your organisation may be required in order to complete the next steps.	
3.3	Have checksums been created for the digital records in the set?	
3.4	Have the digital records and their associated metadata in the initial test extract been copied onto a secure portable format for transport to us?	
3.10	Have the digital records in the set remained in the system after the extraction?	
3. If agreement to proceed with the transfer has been reached after analysis of the initial extract, repeat steps 2.1 to 2.7 for a full extract of all the eligible digital records to be transferred.		
3.1	Please provide an overview of how the full extraction has occurred.	
3.2	Describe what IT support was needed in order to complete the full extraction.	