Checklist: Data Collection for Transition and Recovery Planning

This tool has been designed to assist records transition teams collect comprehensive and meaningful data to support pre or post transition activities. Transition activities may be required during government administrative change, business continuity planning or physical moves of accommodation. Such activities may include:

Transferring agencies

- Planning which information systems will need to be transferred, either in whole or in part

- Informing discussions with receiving agencies as to ICT infrastructure requirements to support transferring records

- Identifying records which may be disposed of prior to transition, to reduce the burden on the receiving agency

- Identifying scope of records transfer activities required, and potential resource (including time) requirements to complete the transfer

- Early identification of potential interim support services which will need to be provided to the receiving agency

- Early identification of stakeholders with whom the transition team will need to communicate.

Receiving agencies

- Planning for resources required to support intake of records – including software licences, physical and electronic storage space, system configuration, vendor support, and record support staff.

- Determining priority recordkeeping work needed post-change, including development of a Retention and Disposal Schedule, and disposal program

- Determining areas where potential savings could be made, for example, by disposing of records which are time-expired, or eligible for transfer to TAHO

- Determining available resources and areas of duplication

- Planning recommendations for application rationalisation, and data migration activities required post-change

- Post-change recordkeeping maturity assessment and gap analysis.

Sample template for collecting transition planning data - Rebuilding or divesting control of State records

Part 1: Details of the Change		
	Example:	**Details**
Name of function being transferred	Fishing and Camping licence data	
Description of function being transferred	*The fishing and camping license authority includes all professional fisher registration and accreditation records going to new Department of Fisheries*	
Source of the function being transferred	*Office of the Leisure Regulator, Premiers Department.*	
Destination of the function being transferred	*New Department of Fisheries.*	
Authority / Enabling legislation	*Administrative Arrangements Order (No.1) 2012*	
Part 2: About the Records Holdings		
	Example:	**Details**
Records being transferred;	*Professional fisher registration and accreditation records.*	
Estimated volume of electronic records		
Digital record formats in use	*PDF, doc, xls, jpg*	
Is there capacity to export / import electronic records? (Provide details – e.g in-house capability or vendor dependent)		
Estimated volume of hardcopy records	*1200 type 1 boxes*	
Date span of holdings	*1923 to current*	

	Example:	Source:	Target:
Are records covered by an approved Retention and Disposal Schedule (other than the Retention and Disposal Schedule for Common Administrative Records)			
% of records that have been sentenced	*85% - legacy records not covered*		
% of records time-expired and potentially eligible for disposal			
Are there any permanent hard copy records no longer required for current business use?	*Registers of commercial licenses pre- 1980*		

Part 3: Resources and infrastructure

	Example:	Source:	Target:
Records Team contact person	*Name* *Title* *Contact email / telephone*		
IT contact person	*Name* *Title* *Contact email / telephone*		
Number of Records Team staff	*3 (1 full time, 2 job-share)*		
Authority for Transfer of State records obtained from TAHO	*Transfer of Custody authority* *Transfer of Ownership authority*		
Hardcopy records storage sites (on and off site)	*1. Corporate Records [address]* *2. Corporate Library [address]* *3. Secondary Storage provider [detail]*		
Current records control system/s –front end	*eDOCS 6.04 (CU6)* *RecFind 5.0.0 f*		
(Include software name and version) Target system (if known)	*Mincor*		
Number of licensed seats	*1. eDOCS 6.04 (CU6) - 18* *2. RecFind 5.0.0 f - 18* *3. Mincor - 3*		

Part 3: Resources and infrastructure			
	Example:	**Source:**	**Target:**
Current records control system/s – back end (Include software name and version) Target system (if known)	*Oracle 11g*		
EDRMS support provider	*Department of the Premier and Cabinet*		
Integration with line of business applications (If yes, provide detail)	No Integration		
Current licensed line of business applications in use Target system (if known)	*1. Finance One* *2. Primevera*		
Number of licensed seats	*1. Finance One - 6* *2. Primevera - 18*		
Current in-house line of business applications in use (Name and function)	*1. Custom Licence v.2* *Fishing and camping licence data* *2. Access database* *Client contacts*		
Legacy or decommissioned systems which may contain public records (Name and function)	*1. Custom Licence v.1* *Fishing and camping licence data* *created before 1998* *2.*		
Major records projects in progress	*Project proposal approved to develop retention and disposal schedule*		
Outsourced records functions	*Mail receipt and registration*	Australia Post	Shared Service Provider
Permanent records held at TAHO? Y/N	Yes		

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- Public Records Brief, Administrative change – Data Collection for transition and recovery planning, Queensland State Archives

Information security Classification

This document has been security classified using the Tasmanian Government Information Security classification standard as PUBLIC and will be managed according to the requirements of the Tasmanian Government Information Security Policy.

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Amendments in this Release

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		This is the first release of this document.

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