Checklist for Migrating Records from Share Drives to SharePoint or TRIM
Records Governance Services

Planning the Migration

What records are you migrating? Provide a brief description of the records and dates the records relate to:	Where are you migrating your records to? SharePoint and/or TRIM
	Who is responsible for migrating these records?

STAGE	REQUIREMENTS/ACTIONS	RESPONSE/NOTES	COMPLETE
1. Review content and assign responsibilities	**Share drive review and clean up** *Managers may need to assign certain areas of the share drive to certain staff or groups of staff based on area of responsibility* Delete the items listed below from the share drive if no longer required. These are not classed as University Records and/or do not relate to your work: • **Personal items/photos** • **Duplicate documents** *(NOTE: not revisions)* • **Reference material e.g. meeting papers from meetings you don't Chair/aren't Secretariat for, material saved from websites, and external organisations' publications, price lists, catalogues and brochures** • **Empty folders.**	**Note:** Access databases stored on share drives cannot be migrated to SharePoint.	
2. Folder structure redesign (optional)	**Restructure share drive if necessary** If the current share drive file structure is disorganised and not user friendly, this is a good opportunity to consider a new file structure with your team: • **Discuss, agree on, and develop the new file structure** • **Organise your current records into the new structure to make the migration as simple as possible.**		
3. Security and Access Controls	**Managing access to and protecting sensitive information** *For this task it may be helpful (if you haven't already) to build your file structure in an excel spreadsheet*		

STAGE	REQUIREMENTS/ACTIONS	RESPONSE/NOTES	COMPLETE
	• **Identify which areas of your file structure and/or which folders specifically contain personal / sensitive / confidential information and require access controls to be applied in either SharePoint or TRIM** • **Ensure adequate documentation noting which people / positions / teams require access to specific folders or documents** • **Work with the experts (IT for SharePoint or RGS for TRIM) to ensure the required security and access controls are placed on the records in their new location.**		
4. Titling / naming	**Retitling files** Titling files correctly is critical so that they can be easily located later. If the title of the file doesn't reflect its content and doesn't follow a naming convention you may find it useful to re-title the files. • **Titles must be short and sharp. Example:** • **Intervention Strategy - <Student Name and Number> - DD MMM YYYY** • **Privacy Complaint - Internal Review - <Student or Staff Name and Number> - DD MMM YYYY** • **Draft Policy Review - Records and Information Management Policy - 2020-2022**		
5. Inactive records and Record destruction	**Assess records to determine if the files need to be migrated or if they can be legally destroyed** If records are no longer required for ongoing business, and are also NOT required for legal, financial or audit purposes, they may be eligible for destruction. **However, there are laws preventing you from just deleting university records. You can find details about when records can be destroyed, the correct process to follow, and what records must not be destroyed on the Information Disposal page** or contact Records Governance Services (**records@newcastle.edu.au** or 492 15306) for assistance with assessing your record retention requirements.		
6a. Quality Assurance	**How will quality assurance be performed?** Please describe how quality assurance will be performed? What will be checked/tested when you perform the post migration checking to ensure the migration has been successful? See **Appendix 1** for a checklist of things to check/test.		
6b. Checking	**Pre-migration Checking** It is recommended to perform a test migration on a small number of records to prove that the migrated records will be authentic, complete, accessible and useable. Should any adverse effects or issues be noted in the migrated records, the migration process will need to be revised. **Note:** *If IT are migrating records for you as part of a project then their project should include all the required pre-migration testing.*	• Are the migrated records a complete and legible reproduction of the source record, readable and editable to staff who have access rights? *Additional Comments:*	

STAGE	REQUIREMENTS/ACTIONS	RESPONSE/NOTES	COMPLETE
6c. Reviewing	**Post-migration Reviewing** Post-migration reviewing does not have to be performed individually on every record. The number of records selected for checking needs to be appropriate either statistically or commensurate with the risk/business needs for the records. E.g. the number can be proportionate to the number of records migrated. Post-migration reviewing should include a range of record types across a number of years if possible. Please respond to the three questions in the 'RESPONSE/NOTES' field to the right:	• Have all records identified for migration been migrated? *Additional Comments*: • Have the migrated records retained all necessary functionality and essential characteristics? *Additional Comments*: • Are you satisfied with the authenticity, completeness, accessibility and useability of the migrated records? *Additional Comments:*	
6d. Reviewing	Approximately what percentage of the migrated records were checked post-migration?		
6e. Sign-off	Record the date post-migration checking was concluded for all migrated records.	Date:	
7. Source records	**Retention of Source Records** Source records must be kept on the share drive for an appropriate length of time after the conclusion of successful post-migration checking. Records Governance Services recommends a retention period of six months to allow time for any unforeseen issues associated with the migration that may emerge following post-migration testing to be identified and rectified. Retaining the source records for at least six months will enable the migration to be repeated if it is discovered that some of the migrated records do not meet the required quality standards or business requirements. You may wish to keep your source records for a shorter or longer period, however the reason for this should be based on a risk assessment and be documented in the 'RESPONSE/NOTES' column to the right. ***Note:*** *For IT migration projects, IT will likely determine how long source records will be retained for. However, it is recommended that you discuss this with them to ensure that you are satisfied that your migrated records have been migrated correctly before your source records are deleted.*		

Appendix 1 -

Use the guide below to check that records have been migrated correctly. You may also have additional specific things that need to be checked depending on the records/files your area keeps.

ITEMS FOR CONSIDERATION	CHECKED
Has the title migrated correctly? Does the title of the record/file in the source location match the title of the record/file in the migrated location?	
Has all the required metadata been migrated? Has information about the record/file such as reference numbers, author of the document, document date etc. been migrated?	
Is the migrated document able to be opened? Open the migrated record/file to ensure there are no issues encountered.	
Has the migrated document maintained its formatting? Check to ensure that the formatting hasn't been lost or corrupted during the migration.	
Is the migrated document able to be edited? (if applicable) If the migrated record/file should be able to be edited, check to ensure that it hasn't been made 'Read Only'.	
Is the total number of migrated records correct? Take note of how many records/files are located in the source location (e.g. share drive) and then check that the total amount of records/files in the migrated location (e.g. SharePoint or TRIM) is the same.	
Has your quality checking of migrated records/files been thorough? Ensure that you quality check multiple records/files of as many different file types that you can. E.g. Outlook emails, Word documents, Excel Spreadsheets, PowerPoint presentations, PDF documents, photos, videos...	