

Australian/New Zealand Standard™

**Information and documentation—Digital  
records conversion and migration  
process**



## **AS/NZS ISO 13008:2014**

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee IT-021, Records and Document Management Systems. It was approved on behalf of the Council of Standards Australia on 30 September 2014 and on behalf of the Council of Standards New Zealand on 21 August 2014. This Standard was published on 7 November 2014.

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## PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-021, Records and Document Management Systems.

The objective of this Standard is to provide guidance for the conversion of records from one format to another, and the migration of records from one hardware or software configuration to another. It contains applicable records management requirements, the organizational and business framework for conducting the conversion and migration process, technology planning issues, and monitoring controls for the process. It also identifies the steps, components and particular methodologies for each of these processes, covering such topics as workflow, testing, version control and validation.

This Standard is identical with, and has been reproduced from ISO 13008:2012, *Information and documentation—Digital records conversion and migration process*.

As this Standard is reproduced from an International Standard, the following applies:

- (a) In the source text ‘this International Standard’ should read ‘this Australian/New Zealand Standard’.
- (b) A full point substitutes for a comma when referring to a decimal marker.

References to International Standards should be replaced by references to Australian or Australian/New Zealand Standards, as follows:

<i>Reference to International Standard</i>	<i>Australian/New Zealand Standard</i>
ISO	AS ISO
15489 Information and documentation— Records management	15489 Records management
15489-1 Part 1: General	15489.1 Part 1: General

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## INTRODUCTION

This International Standard provides guidance for the conversion of records from one format to another and the migration of records from one hardware or software configuration to another. It contains applicable records management requirements, the organizational and business framework for conducting the conversion and migration process, technology planning issues, and monitoring/controls for the process. It also identifies the steps, components and particular methodologies for each of these processes, covering such topics as workflow, testing, version control and validation.

The development of this International Standard was derived from Reference [13].

With the rapid pace of technological change, many records in digital form will, at some point, need to be converted from one format to another, or migrated from one system to another to ensure their continued accessibility and processability.

This is not to suggest that conversion and migration are the only approaches to preserving digital records. Other methods, such as emulation, do exist or are under development. Conversion and migration are, however, two of the more prevalent methods of digital preservation at this time. While this International Standard does not address digital preservation per se, the conversion and migration processes can have an impact on a digital preservation strategy. How an organization chooses to set up the conversion and migration processes (which format to employ, the level of control needed, and so on) largely influences its view of the record. At the time of the development of this International Standard, no single preferred preservation method had been identified. However, institutions recognize the benefit of standardized procedures; many test beds and task forces have been established to explore and research conversion, migration, emulation and refreshment, among other preservation procedures, to determine what should work best.

Conversion and migration represent separate approaches to preserving digital records. It is important to implement them in a managed way to prevent any degradation or loss in the authenticity, reliability, integrity and usability of the records, thus ensuring an “authoritative record” as described in ISO 15489-1:2001, 7.2.2 to 7.2.5. This International Standard outlines the program components, planning issues, recordkeeping requirements and procedures for performing the conversion and migration of digital records so as to preserve their authenticity, reliability, integrity and usability so that they continue to act as evidence of business transactions.

From the outset, note that it is not necessary to adopt all of the procedures recommended in this International Standard to ensure that records management requirements are met. The decision regarding which procedures to adopt depends on such factors as the type of conversion or migration to be performed and the level of risk the organization is willing to accept. In addition, organizations would be well advised to incorporate future planning for further conversion and/or migration of records among requirements for managing enterprise electronic recordkeeping systems.

Before starting a conversion or migration project, individuals designated as “key” to the process need to be aware of records management requirements. The term “recordkeeping criteria/requirements” in records and information management means an adherence to a set of principles that relate to record integrity, authenticity, reliability and usability. Adherence to these principles ensures that record content, context and structure are maintained and that a given record’s standing as evidence of business activity is not compromised. The principles apply regardless of how long the record is retained.

This International Standard does not specifically address conversions and migrations as a routine, ongoing business-as-usual work.

## AUSTRALIAN/NEW ZEALAND STANDARD

**Information and documentation—Digital records conversion and migration process****1 Scope**

This International Standard specifies the planning issues, requirements and procedures for the conversion and/or migration of digital records (which includes digital objects plus metadata) in order to preserve the authenticity, reliability, integrity and usability of such records as evidence of business transactions. These digital records can be active or residing in a repository.

These procedures do not comprehensively cover:

- backup systems;
- preservation of digital records;
- functionality of trusted digital repositories;
- the process of converting analogue formats to digital formats and vice versa.

**2 Normative references**

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 15489-1, *Information and documentation — Records management — Part 1: General*

ISO 23081-2, *Information and documentation — Managing metadata for records — Part 2: Conceptual and implementation issues*

**3 Terms and definitions**

For the purposes of this document, the terms and definitions given in ISO 15489-1 and the following apply.

**3.1****access**

right, opportunity, means of finding, using, or retrieving information

[ISO 15489-1:2001, definition 3.1]

**3.2****attribute**

characteristic of an object or entity

NOTE Adapted from ISO/IEC 11179-3:2003.

**3.3****authenticity**

record that can be proven to be what it purports to be, to have been created or sent by the person purported to have created or sent it, and to have been created or sent at the time purported

NOTE This term is further described in ISO 15489-1:2001, 7.2.2.