

**State Records Authority of New South Wales**

**Standard: No. 11**

**Standard on the physical storage of  
State records**

**issued under the State Records Act 1998**

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# Standard for Records Management

**Standard no** 11

**SR file no** 11/0540

**Title of Standard** Standard on the physical storage of State records

## Scope

The standard sets out principles for the storage of State records. It covers the storage of active and semi active records in the custody of public offices. Records created and maintained by contractors on behalf of public offices in the course of outsourced government business, and the storage of State records by service providers on behalf of public offices, are also covered by the standard. The standard does not cover the storage of State archives.

## Application

The standard applies to all public offices as defined in section 3 of the *State Records Act 1998*, to which Part 2 of the Act applies. This standard covers all State records in any format, but excludes the storage of digital records in online systems or network servers.

## Authority

This standard is issued under section 13(1) of the State Records Act. It has been approved by the Board of the State Records Authority in accordance with section 13(2) of the State Records Act.

## Authorised

This standard was approved by Alan Ventress, Director, State Records Authority of New South Wales, on 2 March 2012.

## Executive summary

Section 11 of the *State Records Act 1998* requires each public office to ‘...ensure the safe custody and proper preservation of the State’s records that it has control of’.

To assist public offices in understanding and implementing this obligation of the State Records Act, this revised *Standard on the physical storage of State records* sets out the minimum compliance requirements for the storage of those State records which have a physical format, including:

- paper files and documents
- volumes and registers
- maps, plans, charts and drawings
- photographic media including photographic prints and negatives, film, microforms, and x-rays
- magnetic media such as digital tape, video and audio cassettes, and
- optical media such as CDs and DVDs.

This standard does not cover the storage of digital records in online systems or network servers.

The storage of records is a key element in the records management program of all public offices. To assist in managing the storage of the organisation’s records, public offices are encouraged to develop a comprehensive storage plan covering all types of records and their storage locations, and ensure that appropriate arrangements for storage have been made to ensure the security, maintenance and accessibility of the organisation’s records.

The principles of this standard require NSW public offices to make decisions and take action to ensure that the storage of records is effective in protecting records from deterioration and are cost efficient. The principles are:

- Authorisation
- Location and buildings
- Environmental controls
- Shelving and packaging
- Maintenance
- Identification and control, and
- Security.

Each of these principles are supported by mandatory compliance requirements. Compliance with this standard will be monitored by State Records and reported on in its Annual Report.

There is a compliance timetable indicating how the requirements of the standard are to be implemented and by what dates. Public offices will be advised in advance of any compliance monitoring activities.

This standard is supported by guidance.

## **Introduction**

### **1.1 Purpose**

The purpose of this standard is to establish minimum requirements for the storage of State records and to guide public offices in decisions and actions for storing State records to ensure that:

- storage is cost-effective and efficient
- records are secure, protected, and accessible for as long as they are required to meet business and accountability needs, and that
- records of continuing value which will be transferred to State Records' control and/or custody as State archives are stored in the best conditions possible.

### **1.2 Authority**

This standard is issued under section 13(1) of the *State Records Act 1998* which enables State Records to 'approve standards and codes of best practice for records management by public offices.'

### **1.3 Application**

This standard applies to all public offices as defined in section 3 of the State Records Act, to which Part 2 of the Act applies.

### **1.4 Scope of standard**

This standard covers active and semi active records in the custody of the public office which have a physical format, including:

- paper files and documents
- volumes and registers
- maps, plans, charts and drawings
- photographic media including photographic prints and negatives, film, microforms, and x-rays
- magnetic media such as digital tape, video and audio cassettes, and
- optical media such as CDs and DVDs.

This standard does not cover the storage of digital records in online systems or network servers. State Records recommends digital records be stored and maintained on network servers until they can be disposed of, however where records are stored on media such as tape or optical discs this standard provides guidance on storage requirements for these formats. State Records provides separate guidance on the storage and management of digital records.

The standard also includes records created and maintained by contractors on behalf of public offices in the course of outsourced government business, and the storage of State records by service providers on behalf of public offices. When selecting such service providers, public offices must ensure that all aspects of storage facilities, conditions, practices and other arrangements conform to the requirements of this standard.

The standard does not cover the storage of State archives, that is, those records that have been transferred to State Records' control under Part 4 of the State Records Act.

The storage of State archives in the custody of a public office or other body under a distributed management agreement, made under section 30 of the Act, is governed by the terms of that agreement.

The standard does, however, contain some references to the long term storage of records which have long retention periods (of more than 30 years) and those that potentially may be kept as State archives.

Public offices should store records required as State archives in the best conditions practically possible while the records are still under their control. This includes records that are subject to 'still in use' determinations under section 28 of the State Records Act. At the very minimum records required as State archives should be kept according to the requirements in this standard.

This standard is supported by a range of guidance available from [www.records.nsw.gov.au/recordkeeping](http://www.records.nsw.gov.au/recordkeeping). For detailed information on implementing requirements of this standard, please see **Appendix B**.

## 1.5 Background

Section 11 of the State Records Act requires each public office to '...ensure the safe custody and proper preservation of the State's records that it has control of'. To assist public offices in understanding and implementing this obligation, State Records issued *Standard on the physical storage of State records* (Standard No. 3) in April 2000. The standard was accompanied by a range of guidance to assist public offices in implementing the standard.

Following consultation with public offices, the standard has been revised.

### Responsibilities for storing records

Public offices should assign responsibility for decision-making about records storage areas and facilities to the nominated senior officer for records management or appropriate delegate. Assessment of suitable locations or service providers, and decisions on records storage should involve the public office's Records Manager or senior staff with responsibility for and expertise in records management. Records storage services and activities should be undertaken by appropriate staff with relevant skills and knowledge.

To assist in managing the storage of the organisation's records, public offices are encouraged to develop a comprehensive storage plan covering:

- all types of records (active, semi-active, archives), storage media, and storage locations
- forecasts of future storage needs, including growth of quantities of records requiring physical storage
- planning and upgrades required to storage areas/facilities, and
- reduction of storage areas/facilities due to better disposal practices and reduced quantities of records.

Having such a plan will assist public offices to ensure that appropriate arrangements for storage have been made to ensure the security, maintenance and accessibility of the organisation's records.

## Storing State archives

A small percentage of records created by each public office are retained permanently as State archives. Generally, State archives are transferred to archival custody (i.e. they are transferred to the control and physical custody of State Records NSW once they are over 25 years old, no longer in use by the public office, and are in good condition).

In the majority of cases, it is more cost effective and appropriate for the public office to transfer the control and custody of the State archives to State Records NSW for storage in Sydney or at a regional repository. However, in some cases, under a distributed management agreement which includes established and agreed upon standards for storage, the public office may retain physical custody of the State archives, whilst control is passed to State Records NSW.

Any public office considering the storage of State archives, should contact State Records NSW to discuss requirements.

## Benefits of complying with the standard

This standard is designed to assist public offices meet the requirements of section 11 of the State Records Act and improve the storage of State records in NSW. Complying with this standard has the following benefits:

- improved access to records and corporate information
- improved security for records and corporation information
- improved control of records and corporate information
- reduced risk of damage, loss or inappropriate destruction of records
- increased accountability, through the retention and preservation of records
- increased public confidence in the integrity of an organisation's records
- preservation of vital records in a disaster, so that an organisation can continue to function
- preservation of organisational records of historical and cultural value, through their transfer to archival storage, and
- avoidance of costly conservation treatment that may be required if records are damaged.

## 1.6 Structure

This standard sets out seven principles for managing the storage of State records. Under each principle there is an explanation of the principle and identified compliance requirements.

A consolidated list of compliance requirements is available at **Appendix A**. This checklist takes the form of a self assessment questionnaire and can be used by the public office for assessing compliance with the standard.

To assist public offices in implementing the standard, State Records has a range of guidance and training available. **Appendix B** of the standard provides guidance on implementing the principles and links to relevant guidance and training materials from State Records.

As this is a revised standard, State Records has mapped the requirements of the *Standard on the physical storage of State records* (2000) to this standard at **Appendix C**.

A bibliography of further references is available at **Appendix D**.

## 1.7 Definitions

For the purposes of this standard the following definitions apply. Terms that have not been referenced are taken from State Record's sources. All other sources are provided in brackets after the definition.

### Active records

Active records are those records which are required for the day to day functioning of an organisation.

### Archives

Records of organisations and individuals that have been selected for indefinite retention on the basis of their continuing value for legal, administrative, financial or historical research purposes. (ed. Jackie Bettington, Kim Eberhard, Rowena Loo, and Clive Smith, *Keeping Archives*, 3<sup>rd</sup> edition, Australian Society of Archivists, 2008, p. 633)

### Integrated pest management

A program of good housekeeping and cleaning, regular inspections and monitoring for pests. (ed. Jackie Bettington, Kim Eberhard, Rowena Loo, and Clive Smith, *Keeping Archives*, 3<sup>rd</sup> edition, Australian Society of Archivists, 2008, p. 86)

### Records

Record means 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 manner or by any other means (*State Records Act 1998*, Part 1, *Preliminary*, Section 3(1), *Definitions*).

See also *State record*.

### Semi active records

Those records that are required so infrequently in the conduct of current business that they can be transferred from offices to separate storage areas. Also referred to as intermediate or semi current records (ed. Judith Ellis, *Keeping Archives*, 2nd edition, Thorpe in association with the Australian Society of Archivists, Melbourne, 1993, p.472).

### State record

Any record, made and kept, or received and kept, by any person in the course of the exercise of official functions in a public office, or for any purpose of a public office, or for the use of a public office (*State Records Act 1998*, s.3(1), *Definitions*).

### Storage facilities

Any building, that houses records, including commercial storage facilities, in-house storage facilities and archival storage facilities.

## **1.8 Acknowledgements**

State Records NSW acknowledges the use of Archives New Zealand, National Archives of Australia, and Public Record Office Victoria storage standards and specifications in the development of this standard.

## **2 Further information**

For more information on this standard, please contact State Records.

# Principles

## **Principle 1 Authorisation**

*Records are stored only in authorised areas and facilities.*

Records that are not in active use should be stored in authorised storage areas and facilities.

The Nominated Senior Officer or appropriate agency representative is responsible for inspecting and authorising all records storage areas and facilities used by the organisation, including commercial storage. Decisions on where records should be stored should involve assessment of the records storage areas and facilities against this standard, thereby ensuring that State records are stored in appropriate conditions. Assessment activities and decisions on records storage should also involve the public office's Records Manager or senior staff with responsibility for and expertise in records management.

Once records storage areas and facilities are in use, they should be regularly inspected and assessed for continuing compliance with this standard.

### **Minimum compliance requirements**

1. The Nominated Senior Officer or appropriate agency representative has authorised all records storage areas and facilities.
2. All State records are stored in storage areas or facilities, including records stored by service providers, that have been assessed as being compliant with this standard.
3. Storage areas and facilities are regularly inspected and assessed for compliance.

### **Examples of evidence**

*The following are examples of how a public office could demonstrate compliance with these requirements:*

- A storage plan for the organisation which details all storage areas or facilities used for the storage of records. The storage plan should include quantities of records in the storage location and identify whether these records have been sentenced.
- Assessment/inspection reports/documentation of storage areas or facilities.
- Records management procedures defining how active records are to be managed including: handling information, access and security controls, basic environmental protections (from sunlight and magnetic fields) and basic disaster management.

## **Principle 2 Location and buildings**

*Records are stored in appropriate storage areas and facilities located away from known and unacceptable risk.*

Public offices should undertake risk assessments of all storage areas and facilities to identify and mitigate possible risks to records.

Records should be stored in areas and facilities that are dedicated to the storage of records or library materials.

Records **should not** be stored in attics or basements unless measures are taken to mitigate risks. These areas of the building do not generally meet the requirements of the standard without improvements or rectification work being undertaken.

### **Location**

Records storage areas and facilities should not be located near known natural and man-made hazards such as:

- heavy atmospheric pollution
- hazardous industries
- flood plains, rivers and creeks
- land liable to subsidence
- land liable to flooding in a tsunami event
- strategic installations such as fuel depots or munitions factories, and
- bush fire prone areas.

If any of these risks are present, protection measures against such risks should form part of the organisation's business continuity and counter disaster plans.

Determining the location of records storage areas within buildings should ensure that records are not co-located with chemical storage areas, flammable materials, electrical plants, overhead pipes or plumbing, kitchens and washrooms, machinery or air conditioning units.

### **Buildings and construction**

Buildings chosen for records storage should:

- be suitable and appropriate for the storage of records
- be soundly constructed of appropriate materials so that the records are not in danger of exposure to the elements, including risks of fire or infestation by vermin
- have good drainage and water run-off
- be secure against intruders
- have controlled access, and
- 'fit for purpose'.

New storage facilities, those built since 2011 to house records, should meet the Building Code of Australia that applied at the time of construction and associated codes and standards. Organisations should ensure that they have appropriate documentation or access to certified copies.

The building should also be weatherproof and, if possible, insulated from the climate outside. Insulation will assist in controlling temperature and relative humidity within the storage areas.

Wherever possible, within the building, walls should divide storage areas from non-storage areas such as work spaces. Storage rooms or equipment should be lockable and access controlled.

Environmental conditions should be in accordance with the recommendations in Principle 3 of this standard: *Environmental controls*.

All records storage areas and facilities, including commercial storage, should have current counter disaster reaction and recovery plans. Staff responsible for the management of records in storage areas and facilities should be trained in the counter disaster reaction and recovery plan and procedures for salvaging records.

### **Storage of active records in office accommodation**

Active records are those records required for current work and the day-to-day function of an organisation. These records, which are being used regularly, are generally stored at desks or near workgroups. Active records need to be managed, stored and protected appropriately to prevent damage and deterioration. Records storage areas in offices should generally not be under windows or around edges of buildings as it is generally warmer in these spaces.

### **Minimum compliance requirements**

1. The location of each records storage area and facility has been subject to risk assessment to identify and mitigate possible risks to records.
2. The storage facilities have been assessed as being suitable for the storage of records.
3. Records storage facilities built since 2011 need to be compliant with the Building Code of Australia and associated codes at the time of construction.
4. Buildings used for records storage are weatherproof and have good drainage.
5. Storage areas and facilities are dedicated to either records or records / library storage.
6. Each storage area and facility has a current disaster reaction and recovery plan which is regularly revised and equipment / supplies to assist in the recovery of records after a disaster.
7. Storage areas and facilities have appropriate and comprehensive fire detection and protection systems and equipment, in compliance with the Building Code of Australia and Australian Standards.

### **Examples of evidence**

*The following are examples of how a public office could demonstrate compliance with these requirements:*

- Risk assessment documentation.
- Certificates of occupancy or internal risk assessment reports which demonstrate that the facility meets the Building Code requirements, including relevant fire-resistance levels.

- A storage plan which details design measures and safeguards implemented in storage areas and facilities which protect records from fire and water influx (from above, below or through walls or openings).
- Structural engineer's report confirming storage areas and facilities have sufficient floor loading capacity to support records and equipment when at full capacity.
- Fire safety logs or inspection reports showing that smoke detectors meet requirements of AS 1670 and fire extinguishers, hose reels and hydrants meet the requirements of Part E of the Building Code of Australia.
- A documented and up-to-date disaster reaction and recovery plan along with records of tests, results and evidence that it is reviewed.

### Principle 3 Environmental controls

*Records should be stored in environmental conditions that are appropriate to their format and retention period and integrated pest management controls are implemented to ensure that records are not damaged by pest activity.*

Environmental conditions within storage areas and facilities have a major impact on the preservation of physical records and the rate with which they will deteriorate. Poor storage and environmental conditions will result in the deterioration of records and their potential loss, or the necessity of undertaking conservation work at considerable cost to the public office.

Records should be sentenced at creation or pre-creation using authorised retention and disposal authorities to identify the appropriate retention period of the record. This allows the public office to:

- create the records on suitable media
- know the types of media that will require storage
- store the media in environmental conditions appropriate for that format, and
- store the records in environmental conditions appropriate for the retention period of the records.

If it is not known how long records need to be retained, then the organisation will not be able to efficiently plan the storage of its records.

Records that require long term retention (30 years or more) or are to be transferred as State archives, should be stored in the best possible environmental conditions from the time of creation.

Short term records (those records that are only retained for 30 years or less) should be stored in good storage conditions, though not as exacting as long term/archival storage, until they are authorised for destruction.

Environmental conditions include temperature and humidity, light, air quality, pest management, and magnetic fields.

#### Temperature and humidity

Temperature helps to determine the rate of chemical change in materials and is also an important factor in biological and physical deterioration. Increased temperatures lead to increased rates of change and deterioration.

Relative Humidity (RH) affects the rate of deterioration. Moisture is a requirement in many deterioration reactions and it is crucial to the germination and growth of mould.

Fluctuations in both temperature and Relative Humidity can cause deterioration.

The records storage area or facility should provide a stable environment, without major fluctuations in temperature or humidity. The stable environment should be able to be achieved through the building design and construction, and insulation from the external climate rather than necessarily depending on air conditioning (see *Principle 2: Location and buildings*). Where possible the storage environment should be based on the requirements of the records. **High sensitivity items** requiring stringent environmental controls should be separated from the rest of the collection so that their special requirements can be met in an isolated storage facility.

Temperature and humidity requirements for records storage areas and facilities:

*Active / semi-active records / short term temporary records / Low sensitivity items*

- Temperature range: 15° – 27° Celsius
- Humidity: 30% - 60% RH
- Fluctuations in temperature and humidity should be avoided
- For storage areas/facilities without air-conditioning, insulation and a suitable location can help to reduce extremes of temperature and humidity.

*Archival / long term temporary records / Low sensitivity items*

- Temperature can be set anywhere in the range 16° – 25° Celsius. The absolute upper limit is 25° Celsius. Each temperature increase of 5 degrees causes a doubling in the rate of chemical change and should be avoided.
- Humidity can be set anywhere in the range 30% - 60% RH. The absolute upper limit for humidity is 60% to reduce the risk of mould growth and to reduce the rate of chemical change. Where records are handled regularly it is better to keep the humidity above 40%.
- Fluctuations in temperature and humidity should be avoided or minimised.
- Daily fluctuations in temperature – no more than 3 degrees
- Daily fluctuations in Relative Humidity – no more than 10%
- Seasonal fluctuations in temperature – no more than 10 degrees
- Seasonal fluctuations in Relative Humidity – no more than 20%
- Records identified as having *archival value* should be removed from short term temporary records storage and placed in environmentally controlled storage and maintained at temperature and humidity levels that do not exceed those described above.
- Records subject to 'still in use' determinations are of archival value and should be stored in the best conditions available.

**NOTE: High Sensitivity Records** such as photographic media (black and white, or colour), magnetic media, optical media and mixed media items, will require more rigorous temperature and humidity controls.

## **Light**

All forms of light can damage records. Protecting records from direct sunlight and minimising light in storage areas can minimise damage to records.

To prevent direct sunlight from entering the storage area, all windows must be heavily screened. Lighting in storage facilities should be movement activated or time-limited, so that only lighting is available when required.

Where possible, records should be stored in boxes to assist in reducing their exposure to light.

## **Air quality**

Records should be stored in a 'clean air' environment, with minimal industrial or gaseous contamination. This can be achieved to some extent by careful selection of the location (see *Principle 2: Location and buildings*) and filtration systems to exclude dust and other particles.

Good ventilation within storage areas and facilities is important. Air must be able to circulate within the storage space to prevent 'pockets' of high humidity. There should be intake of fresh air.

## **Pest management**

Records, particularly paper records, are an attractive food source for a range of pests. An integrated pest management approach should be used for records storage areas and facilities:

- block points of ingress for pests
- keep storage areas and facilities clean
- do not allow food or beverages into storage areas
- regularly monthly monitoring of storage areas using pest traps, and
- perimeter spraying of storage areas to prevent ingress of pests.

Storage areas and facilities should be monitored for rats, mice, silverfish, and cockroaches as these are the biggest danger to a records collection.

## **Magnetic fields**

Magnetic fields can distort the data contained in some record formats, such as analogue disks and tapes. Storage areas should be protected from magnetic fields (including but not limited to high intensity electro-magnetic fields, e.g. high voltage power lines; lightning conductor systems; electric generators and motors; and electrical wiring).

## **Minimum compliance requirements**

1. Records of short term value are stored in conditions which ensure preservation until they are no longer required.
2. Records of long term and archival value are stored in conditions which will ensure their preservation; maximum temperature of 25 degrees and maximum Relative Humidity of 60%.
3. Records of archival value are transferred to archival storage once they are no longer active.
4. Temperature and humidity levels within storage areas and facilities are monitored for stability and action taken to minimise any significant fluctuations.
5. Records are stored away from direct light, including sunlight.
6. The air in records storage areas circulates freely and there is an intake of fresh air.
7. Magnetic media is protected from magnetic fields.
8. Records storage areas and facilities have an integrated pest management system.

## **Examples of evidence**

*The following are examples of how a public office could demonstrate compliance with these requirements:*

- Assessment reports which identify appropriate storage conditions for records in storage areas and facilities.
- Assessment reports which confirm that records have been placed in appropriate storage conditions for their retention periods.
- Monitoring of temperature and humidity in storage area / facility and documentation of temperature and humidity levels within the storage area / facility (inspection information, hydrothermographic logs etc).
- Risk assessment reports which detail how the impact of sunlight and UV light on records has been minimised.
- Risk assessment reports which detail how magnetic storage media has been protected from the effects of magnetic fields.
- A storage plan which includes detail on the integrated pest management system.
- Reports/documentation from pest inspections.

## **Principle 4 Shelving and packaging**

*Ensure that shelving, equipment and containers for records storage are secure, accessible and protected from deterioration.*

Appropriate shelving and equipment should be used to ensure that records are accessible, secure and protected. Containers for records, including boxes or envelopes, play a vital role in protecting records from deterioration, for example slowing down the rate of temperature and humidity changes and protecting items from light, dust and pollutants.

Records storage areas, facilities, shelving, containers and equipment should comply with workplace health and safety requirements.

### **Shelving and equipment**

Shelving, racking, cabinets, other storage devices, and handling equipment should facilitate access to and ensure the survival of records for as long as they are required. They should be:

- suitable for the type of record stored
- clean
- in a good state of repair, and
- strong enough to support potential weight of records.

Ideally, shelving, cabinets and racking should be constructed from good quality metal, properly sealed to prevent rusting. In addition, shelving should be:

- raised off the floor by 85-150mm as a flood/disaster precaution, and
- lockable if it is to hold sensitive records.

Storage areas and facilities must have sufficient floor loading capacity to safely support the weight of fully loaded shelving and racking and any other furnishings or equipment. Shelving should not restrict good ventilation in the storage area.

### **Record formats and item containers**

Containers used for records should be:

- appropriate to the record format and retention
- in good condition, and
- appropriate for the weight, size and format of the records they contain.

All containers should be of durable material capable of sustaining expected use and the correct size and shape for the shelving on which they are stored. Boxes should possess lids that fit cleanly.

Identifying the retention period of the record at creation or pre-creation assists in determining:

- the appropriate format on which to create the record, and
- the appropriate item containers, including wrappings, envelopes, boxes or other enclosures to promote survival of the record for as long as it is required.

For example, strong clean containers and file covers are adequate for short term temporary paper records but long term records should be stored in archival or permanent quality acid-free file covers, folders or envelopes and acid free boxes. Retention periods for records can be ascertained from *General Retention and Disposal Authorities* and the public office's *Functional Retention and Disposal Authority*.

### **Minimum compliance requirements**

1. Shelving and handling equipment is clean, in good condition and appropriate to the format and retention period of the records.
2. Item containers are clean, in good condition, and appropriate to the format and retention period of the records they hold.
3. Records storage facilities, shelving, equipment, and containers meet workplace health and safety requirements.

### **Examples of evidence**

*The following are examples of how a public office could demonstrate compliance with these requirements:*

- Assessment documentation which identifies appropriate item containers, storage and handling equipment for records of different types of formats.
- Inspection logs/documentation that demonstrate that shelving and handling equipment are being used appropriately.
- Certificates of occupancy specifying floor loading capacity.
- Structural engineer's report confirming storage areas and facilities have sufficient floor loading capacity to support records and equipment when at full capacity.
- OH&S risk assessment reports and safe working practice assessments.
- Records storage procedures cover the selection and appropriate use of containers.
- Inspection logs/documentation demonstrating that appropriate containers are being used and that containers are in good condition.

## **Principle 5 Maintenance**

*A maintenance program, including regular inspection, review and monitoring of records and storage areas should be implemented.*

Records storage areas and facilities should be regularly monitored and well maintained to ensure that they provide a stable and suitable environment for records. Planned maintenance programs can prevent many storage problems and reduce costs.

Records should be regularly monitored to identify if any deterioration is occurring which requires conservation treatment.

### **Elements of maintenance and monitoring programs**

Maintenance and monitoring programs for records storage involve checking and treating factors such as the:

- environmental conditions, including light and pollution levels, temperature and humidity
- presence of mould and pest infestation
- building surrounds and fabric
- physical security of buildings and storage areas
- internal factors, including electrical equipment and pipes, and structures like shelving, to ensure they are safe and in good condition
- cleanliness of storage areas
- fire detection mechanisms such as alarms, sprinkler systems and extinguishers to ensure they are working correctly
- other identified risks that need to be managed, and
- any new risks that may arise.

Monitoring and maintenance programs can identify and isolate factors that public offices should address in their counter disaster programs.

Maintenance and monitoring programs for records also involves regularly checking the records and containers for:

- mould or pest infestation, and
- signs of deterioration, such as corrosion.

Staff who regularly work in storage areas or facilities should receive training in identifying records with potential conservation or preservation risks.

It is important when monitoring records within storage areas and facilities, that a range of boxes, containers and storage equipment (such as plan drawers) are sampled across the storage area / facility to identify issues which may be occurring in 'pockets' of the storage area / facility. It is very important to OPEN the box or container or drawer and check contents! If mould or pest infestation is identified this must be treated promptly and State Records notified.

Repairs to records should be undertaken where necessary and if they are not likely to damage the records further. Repairs to records should only be carried out under the supervision of a Conservator and in consultation with State Records.

If records need to be copied or converted to ensure their long term preservation then the public office should contact State Records.

### **Minimum compliance requirements**

1. Records storage areas and facilities are maintained as part of the organisation's building maintenance program.
2. Regular checks of records and containers in records storage areas and facilities are undertaken to identify signs of pest infestation, mould, or other deterioration.
3. Mould or pest infestation is treated promptly and appropriately.
4. Appropriate conservation action is undertaken as required but repairs to records do not damage the records further.

### **Examples of evidence**

*The following are examples of how a public office could demonstrate compliance with these requirements:*

- Building maintenance and pest inspection reports.
- Documentation of maintenance undertaken to mitigate risks.
- Maintenance program documentation that indicates regular monitoring of records storage areas and facilities for signs of deterioration.
- Maintenance reports which detail corrective and preventative work undertaken.
- Pest management documentation.
- Conservation reports.
- Notification to State Records of substantial damage and/or deterioration of records.

## **Principle 6 Identification and control**

*Records are controlled so that they can be identified and retrieved.*

The ability to identify a record and retrieve when required is fundamental to the management of records in storage areas and facilities. Mechanisms for improving accessibility should be balanced with the need to safeguard records against unauthorised access or theft.

### **Controls**

To enable efficient retrieval of records from the storage area or facility, public offices need to implement standards for documentation and location control, including box lists, barcodes, and shelf numbers. Individual record items and containers of records should be registered into the organisation's recordkeeping systems and the public office should be able to track the movement and location of all its records, regardless of location and identify for how long they need to be stored prior to destruction or transfer as archives.

### **Handling records**

Records of all formats are likely to suffer damage and deterioration if they are not handled correctly. The retrieval of records from storage areas or facilities should be subject to controls in order to prevent damage or deterioration and adequate steps must be taken to promote the correct handling and use of records to minimise damage and ensure their preservation for as long as they are required.

Only authorised users should be able to access and retrieve records (see *Principle 7: Security*). Techniques for handling records of all formats should be known and communicated to all users (including staff, contractors, and the public).

Procedures should also incorporate the transporting of records, to ensure that whenever records are in transit they are secured and protected against the weather, light, pollution, unauthorised access, theft, and other dangers. Records should only be transported in enclosed and lockable vehicles, and loaded and unloaded in covered areas under supervision.

If records are transferred to the custody of another public office or organisation for temporary access, the public office should inform the temporary custodian of their responsibilities for records protection and security.

Where staff are involved in storage operations and in the moving of records, it is appropriate that they receive manual handling training or instruction.

### **Records of long term or archival value**

Records of long term or archival value need to be handled with great care, to ensure that they survive for as long as they are needed. The public office should review the use of such records, and if necessary, take steps to ensure that the records are not damaged by heavy usage. It may be appropriate, after consultation with State Records NSW, that long term or archival value records are converted to other formats, i.e. digitised. If records are to be digitised or converted to improve accessibility and /or reduce damage to originals, care should be taken to ensure that the records are:

- handled carefully in the conversion process, and
- converted according to recognised standards.

Once converted, the public office should make arrangements for the transfer and preservation of the originals of records required as State archives. Remember, originals identified as State archives that were created or received prior to January 1, 1980 are not eligible for destruction after copying under *General Retention and Disposal Authority: original or source records that have been copied*.

Digital copies of records should be authentic, reliable, accessible, and stored with appropriate security in the organisation's recordkeeping system.

### **Minimum compliance requirements**

1. Records are controlled in a system which allows them to be identified, located, retrieved quickly and easily, and returned to storage after use.
2. Procedures for the appropriate handling and use of records are defined and communicated to all users.
3. Procedures for the safe transport of records are defined and communicated to all staff and contractors.
4. Policies and procedures are implemented to ensure that records of long term value and archives are handled with care.
5. Records are converted or digitised according to recognised standards.

### **Examples of evidence**

*The following are examples of how a public office could demonstrate compliance with these requirements:*

- A storage plan which includes information on the physical and intellectual control of records in storage.
- Recordkeeping system includes information on where records can be located.
- Records management procedures include the retrieval, handling, and return of records to storage.
- Documentation for digitisation processes.

## **Principle 7 Security**

*Records are protected against theft, misuse, and unauthorised access.*

All records require a basic level of security to ensure their authenticity and integrity, and to prevent misuse. Security measures, including entry controls, should be applied to records storage areas and facilities, including when records are stored by service providers, to prevent intruders. Records should also be secured and protected while in transit to and from a storage area or facility. Serious breaches (including those that may relate to personal information) should be reported where appropriate and assessed to ensure rectification action is taken where required.

Access to records storage areas and facilities should be restricted to authorised staff. These restrictions should also be in place for after hours access to records storage areas and facilities.

As part of the organisation's implementation of an information security management system (as required under ISO 27001), all information assets are classified according to their value, legal requirements, sensitivity and criticality to the organisation. These classifications will influence security requirements for records and determine how they should be managed, accessed and stored. Records identified as containing critical, sensitive or in-confidence material, should be handled, stored and protected according to these security classifications. For example, instituting a 'clean desk' policy which requires all such records and loose documents to be stored in a lockable credenza or cupboard at the end of each work day.

### **Minimum compliance requirements**

1. Storage areas and facilities are intruder resistant and access controlled.
2. Records which are identified as critical, sensitive or containing in-confidence material, are appropriately protected.

### **Examples of evidence**

*The following are examples of how a public office could demonstrate compliance with these requirements:*

- Storage plans and assessment reports include details of security measures implemented to protect records storage areas and facilities, and records in transit.
- Storage plan includes details of access monitoring and reporting.
- Access logs which record all entry to storage areas and facilities.
- Incident reports regarding any unauthorised access to storage areas or facilities.
- Storage plans and assessment reports include details of appropriate handling and storage of security classified records.
- Procedures which detail how to store information with different security classifications.

## Appendix A: - Consolidated list of compliance requirements

		Yes	No
	<b>Authorisation</b>		
1.1	The Nominated Senior Officer or appropriate agency representative has authorised all records storage areas and facilities.		
1.2	All State records are stored in storage areas or facilities, including records stored by service providers, that have been assessed as being compliant with this standard.		
1.3	Storage areas and facilities are regularly inspected and assessed for compliance.		
	<b>Location and buildings</b>		
2.1	The location of each records storage area and facility has been subject to risk assessment to identify and mitigate possible risks to records.		
2.2	The storage facilities have been assessed as being suitable for the storage of records.		
2.3	Records storage facilities built since 2011 need to be compliant with the Building Code of Australia and associated codes at the time of construction.		
2.4	Buildings used for records storage are weatherproof and have good drainage.		
2.5	Storage areas and facilities are dedicated to either records or records / library storage.		
2.6	Each storage area and facility has a current disaster reaction and recovery plan which is regularly revised and equipment / supplies to assist in the recovery of records after a disaster.		
2.7	Storage areas and facilities have appropriate and comprehensive fire detection and protection systems and equipment, in compliance with the Building Code of Australia and Australian Standards.		
	<b>Environmental controls</b>		
3.1	Records of short term value are stored in conditions which ensure preservation until they are no longer required.		
3.2	Records of long term and archival value are stored in conditions which will ensure their preservation; maximum temperature of 25 degrees and maximum Relative Humidity of 60%.		
3.3	Records of archival value are transferred to archival storage once they are no longer active.		

3.4	Temperature and humidity levels within storage areas and facilities are monitored for stability and action taken to minimise any significant fluctuations.		
3.5	Records are stored away from direct light, including sunlight.		
3.6	The air in records storage areas circulates freely and there is an intake of fresh air.		
3.7	Magnetic media is protected from magnetic fields.		
3.8	Records storage areas and facilities have an integrated pest management system.		
	<b>Shelving and packaging</b>		
4.1	Shelving and handling equipment is clean, in good condition and appropriate to the format and retention period of the records.		
4.2	Item containers are clean, in good condition, and appropriate to the format and retention period of the records they hold.		
4.3	Records storage facilities, shelving, equipment, and containers meet workplace health and safety requirements.		
	<b>Maintenance</b>		
5.1	Records storage areas and facilities are maintained as part of the organisation's building maintenance program.		
5.2	Regular checks of records and containers in records storage areas and facilities are undertaken to identify signs of pest infestation, mould, or other deterioration.		
5.3	Mould or pest infestation is treated promptly and appropriately.		
5.4	Appropriate conservation action is undertaken as required but repairs to records do not damage the records further.		
	<b>Identification and control</b>		
6.1	Records are controlled in a system which allows them to be identified, located, retrieved quickly and easily, and returned to storage after use.		
6.2	Procedures for the appropriate handling and use of records are defined and communicated to all users.		
6.3	Procedures for the safe transport of records are defined and communicated to all staff and contractors.		
6.4	Policies and procedures are implemented to ensure that records of long term value and archives are handled with care.		
6.5	Records are converted or digitised according to recognised standards.		

	<b>Security</b>		
7.1	Storage areas and facilities are intruder resistant and access controlled.		
7.2	Records which are identified as critical, sensitive or containing in-confidence material, are appropriately protected.		

## Appendix B: - Guidance on implementing the standard

*This appendix is provided for advice only. It does not form part of the requirements of the standard.*

	Requirement	Examples of evidence	Further guidance
<b>Principle 1 Authorisation</b>			
1.1	The Nominated Senior Officer or appropriate agency representative has authorised all records storage areas and facilities.	A storage plan for organisation detailing all storage areas or facilities used for records storage	<i>Solutions for storage</i>
1.2	All State records are stored in storage areas or facilities, including records stored by service providers, that have been assessed as being compliant with this standard.	A storage plan for organisation detailing all storage areas or facilities used for records storage	<i>Solutions for storage</i>
1.3	Storage areas and facilities are regularly inspected and assessed for compliance.	Assessment/inspection reports/documentation of storage areas or facilities	<i>Solutions for storage</i>
<b>Principle 2 Location and buildings</b>			
2.1	The location of each records storage area and facility has been subject to risk assessment to identify and mitigate possible risks to records.	Risk assessment documentation	<i>Solutions for storage</i>
2.2	The storage facilities have been assessed as being suitable for the storage of records.	Structural engineer's report on suitability of storage spaces to hold records storage equipment  Assessment of storage facility with storage standard	<i>Solutions for storage</i>
2.3	Records storage facilities built since 2011 need to be compliant with the Building Code of Australia and associated codes at the time of construction.	Certificates of occupancy  Risk assessment reports	<i>Solutions for storage</i>

2.4	Buildings used for records storage are weatherproof and have good drainage.	Documentation of assessment of storage areas and facilities  Storage plan  Building maintenance reports	<i>Solutions for storage</i>
2.5	Storage areas and facilities are dedicated to either records or records / library storage.	Storage plan  Documentation of assessment of storage areas and facilities	<i>Solutions for storage</i>
2.6	Each storage area and facility has a current disaster reaction and recovery plan which is regularly revised and equipment / supplies to assist in the recovery of records after a disaster.	Current disaster reaction and recovery plan  Documentation of training and review of disaster reaction and recovery plan	<i>Counter disaster strategies for records and recordkeeping systems</i>
2.7	Storage areas and facilities have appropriate and comprehensive fire detection and protection systems and equipment, in compliance with the Building Code of Australia and Australian Standards.	Fire safety logs or inspection reports  Risk assessment reports	<i>Solutions for storage</i>
<b>3 Environmental controls</b>			
3.1	Records of short term value are stored in conditions which ensure preservation until they are no longer required.	Storage plan  Documentation of assessment of storage areas and facilities  Assessment reports of environmental conditions in storage areas and facilities  Documentation of monitoring of environmental conditions	<i>General retention and disposal authorities and Functional retention and disposal authority</i>  <i>Solutions for storage</i>
3.2	Records of long term and archival value are stored in conditions which will ensure their preservation; maximum temperature of 25 degrees and maximum	Storage plan  Documentation of assessment of storage areas and facilities	<i>General retention and disposal authorities and Functional retention and disposal authority</i>  <i>Solutions for storage</i>

	Relative Humidity of 60%.	Assessment reports of environmental conditions in storage areas and facilities  Documentation of monitoring of environmental conditions	
3.3	Records of archival value are transferred to archival storage once they are no longer active.	Storage plan  Documentation of transfer of custody/control	<i>General retention and disposal authorities and Functional retention and disposal authority</i>  <i>Implementing a retention and disposal authority</i>  <i>Procedures for transferring custody of records as State archives</i>
3.4	Temperature and humidity levels within storage areas and facilities are monitored for stability and action taken to minimise any significant fluctuations.	Documentation of monitoring of environmental conditions	<i>Solutions for storage</i>
3.5	Records are stored away from direct light, including sunlight.	Risk assessment reports	<i>Solutions for storage</i>
3.6	The air in records storage areas circulates freely and there is an intake of fresh air.	Risk assessment reports  Documentation of monitoring of environmental conditions	<i>Solutions for storage</i>
3.7	Magnetic media is protected from magnetic fields.	Risk assessment reports	<i>Solutions for storage</i>
3.8	Records storage areas and facilities have an integrated pest management system.	Storage plan  Reports/documentation of pest inspections	<i>Solutions for storage</i>  National Archives of Australia, "Integrated pest management" FAQ sheet
<b>4 Shelving and packaging</b>			
4.1	Shelving and handling equipment is clean, in good condition and appropriate to the format and retention period of the	Storage equipment assessment documentation  Storage plan	<i>Solutions for storage</i>

	records.	Structural engineer's report on floor loading capacity Certificate of occupancy	
4.2	Item containers are clean, in good condition, and appropriate to the format and retention period of the records they hold.	Records storage procedures Inspection logs/documentation	<i>Solutions for storage</i>
4.3	Records storage facilities, shelving, equipment, and containers meet workplace health and safety requirements.	Inspection logs/documentation OH&S risk assessment reports Safe working practice assessments	<i>Solutions for storage</i> <i>Records in transit</i>
<b>5 Maintenance</b>			
5.1	Records storage areas and facilities are maintained as part of the organisation's building maintenance program.	Building maintenance reports Maintenance program documentation	<i>Solutions for storage</i>
5.2	Regular checks of records and containers in records storage areas and facilities are undertaken to identify signs of pest infestation, mould, or other deterioration.	Inspection reports/documentation Reports/documentation of pest inspections	<i>Solutions for storage</i> National Archives of Australia, "Integrated pest management" FAQ sheet
5.3	Mould or pest infestation is treated promptly and appropriately.	Pest management documentation Conservation reports Documentation of notifications to State Records of substantial damage and/or deterioration of records	<i>Solutions for storage</i>
5.4	Appropriate conservation action is undertaken as required but repairs to records do not damage the records further.	Conservation reports Documentation of notifications to State Records of substantial damage and/or deterioration of records	<i>Solutions for storage</i>

<b>6 Identification and control</b>			
6.1	Records are controlled in a system which allows them to be identified, located, retrieved quickly and easily, and returned to storage after use.	Storage plan  Documentation about the recordkeeping system and how records are controlled	<i>Solutions for storage</i>
6.2	Procedures for the appropriate handling and use of records are defined and communicated to all users.	Records management procedures	<i>Handle with care</i>  <i>Records in transit</i>
6.3	Procedures for the safe transport of records are defined and communicated to all staff and contractors.	Records management procedures	<i>Handle with care</i>  <i>Records in transit</i>
6.4	Policies and procedures are implemented to ensure that records of long term value and archives are handled with care.	Storage plan  Records management procedures  Procedures for managing State archives in custody of public office	<i>Handle with care</i>
6.5	Records are converted or digitised according to recognised standards.	Documentation for digitisation processes	<i>Managing digitisation programs and projects</i>
<b>7 Security</b>			
7.1	Storage areas and facilities are intruder resistant and access controlled.	Storage plan includes details of security measures to protect records  Security assessment reports  Access monitoring and reporting documentation  Incident reports	<i>Solutions for storage</i>  <i>How can recordkeeping professionals assist in achieving information security outcomes?</i>
7.2	Records which are identified as critical, sensitive or containing in-confidence material, are appropriately protected.	Storage plan includes details for appropriate handling and storage or security classified records  Storage procedures	<i>How can recordkeeping professionals assist in achieving information security outcomes?</i>

**Appendix C: - Requirements of the *Standard on the physical storage of State records (2000)* mapped to this new standard**

2012 Standard	2000 Standard*
1.1 The Nominated Senior Officer or appropriate agency representative has authorised all records storage areas and facilities.	1.1 The Corporate Records Manager has approved all locations for records storage.
1.2 All State records are stored in storage areas or facilities, including records stored by service providers, that have been assessed as being compliant with this standard.	<b>NEW</b>
1.3 Storage areas and facilities are regularly inspected and assessed for compliance.	<b>NEW</b>
2.1 The location of each records storage area and facility has been subject to risk assessment to identify and mitigate possible risks to records.	4.1 Risk management exercises within the public office include examination of records storage areas.
2.2 The storage facilities have been assessed as being suitable for the storage of records.	<b>NEW</b>
2.3 Records storage facilities built since 2011 need to be compliant with the Building Code of Australia and associated codes at the time of construction.	<b>NEW</b>
2.4 Buildings used for records storage are weatherproof and have good drainage.	1.2 Buildings chosen for records storage are entirely weatherproof 1.3 Storage areas have good drainage.
2.5 Storage areas and facilities are dedicated to either records or records / library storage.	1.4 Storage areas are dedicated to either records or records and library storage.
2.6 Each storage area and facility has a current disaster reaction and recovery plan which is regularly revised and equipment / supplies to assist in the recovery of records after a disaster.	4.4 Current disaster reaction and recovery plans, that cover each records storage location, are in place
2.7 Storage areas and facilities have appropriate and comprehensive fire detection and protection systems and equipment, in compliance with the Building Code of Australia and Australian Standards.	4.2 Fire prevention and suppression measures include heat/smoke detection, fire alarms and extinguishers. 4.3 Records storage areas being constructed or substantially renovated have

	sprinklers installed.
3.1 Records of short term value are stored in conditions which ensure preservation until they are no longer required.	2.1 Active and semi active records are kept in a stable environment, within the range of 15°C to 27°C temperature and 30% to 60% relative humidity.  2.3 Records required to be retained for a finite period in accordance with approved disposal authorities are stored in suitable conditions until the records are destroyed.
3.2 Records of long term and archival value are stored in conditions which will ensure their preservation; maximum temperature of 25 degrees and maximum Relative Humidity of 60%.	2.2 Records of archival value are transferred when they are inactive to environmentally controlled storage as close as possible to the ranges described in Appendix B.
3.3 Records of archival value are transferred to archival storage once they are no longer active.	2.2 Records of archival value are transferred when they are inactive to environmentally controlled storage as close as possible to the ranges described in Appendix B.
3.4 Temperature and humidity levels within storage areas and facilities are monitored for stability and action taken to minimise any significant fluctuations.	<b>NEW</b>
3.5 Records are stored away direct light, including sunlight.	2.4 Records storage areas exclude direct sunlight.
3.6 The air in records storage areas circulates freely and there is an intake of fresh air.	2.5 The air in records storage areas circulates freely and there is an intake of fresh air.
3.7 Magnetic media is protected from magnetic fields.	2.6 Storage areas for magnetic media are protected from magnetic fields.
3.8 Records storage areas and facilities have an integrated pest management system.	<b>NEW</b>
4.1 Shelving and handling equipment is clean, in good condition and appropriate to the format and retention period of the records.	3.1 Shelving and handling equipment is clean, in good condition and appropriate to the format and retention period of the records.
4.2 Item containers are clean, in good condition, and appropriate to the format and retention period of the records they hold.	3.2 Item containers are clean, in good condition and appropriate to the format and retention period of the records they hold.
4.3 Records storage facilities, shelving, equipment, and containers meet workplace health and safety requirements.	3.3 Records storage facilities, shelving, equipment and containers meet occupational health and safety

	requirements.
5.1 Records storage areas and facilities are maintained as part of the organisation's building maintenance program.	5.1 Records storage areas and buildings are regularly maintained and monitored as part of an ongoing program.  5.2 Repairs to records storage areas and buildings are carried out promptly after identification.
5.2 Regular checks of records and containers in records storage areas and facilities are undertaken to identify signs of pest infestation, mould, or other deterioration.	<b>NEW</b>
5.3 Mould or pest infestation is treated promptly and appropriately.	5.3 Mould or pest infestation is treated promptly and appropriately.
5.4 Appropriate conservation action is undertaken as required but repairs to records do not damage the records further.	5.4 Appropriate conservation action is undertaken as required but repairs to records do not damage the records further.
6.1 Records are controlled in a system which allows them to be identified, located, retrieved quickly and easily, and returned to storage after use.	7.1 The location of records storage areas and records facilitates prompt retrieval.  7.2 There are standards for documentation and location controls that enable records to be identified and retrieved quickly and easily.
6.2 Procedures for the appropriate handling and use of records are defined and communicated to all users.	6.1 Guidelines for the handling and use of records are defined and communicated to all users (including staff, contractors and the public).
6.3 Procedures for the safe transport of records are defined and communicated to all staff and contractors.	6.2 Guidelines for the safe transport of records are defined and communicated to all staff and contractors.
6.4 Policies and procedures are implemented to ensure that records of long term value and archives are handled with care.	6.3 Policies and procedures are implemented to ensure that records of long term value are handled with care.
6.5 Records are converted or digitised according to recognised standards.	6.4 Records are handled carefully during conversion and converted according to recognised standards.
7.1 Storage areas and facilities are intruder resistant and access controlled.	1.5 Storage areas are intruder resistant and access controlled.
7.2 Records which are identified as critical, sensitive or containing in-confidence material, are appropriately protected.	<b>NEW</b>

\* The following requirements from the 2000 standard have not been included, as they are included in the *Standard on Counter Disaster Strategies for Records and Recordkeeping Systems*:

4.5 Staff are assigned responsibilities in the records disaster management process and are trained to meet them.

4.6 After recovery from a disaster, the cause is identified and treated or managed, and the plan reviewed.

## **Appendix D: - Further references**

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State Records NSW, *Storage of State records with service providers outside of NSW*, Sydney 2009.

State Records NSW, *Counter disaster strategies for records and recordkeeping systems*, Sydney 2002.