

State Archives and Records Authority of NSW

Standard: No. 13

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

issued under the State Records Act 1998

Approved 13 December 2018, Issued 15 February 2019

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Standard on the physical storage of State records

Standard no 13

File no 18/0402

Title of Standard Standard on the physical storage of State records

Scope

This standard sets out principles for the storage of State records. It covers the storage of records in the control of the public office which have a physical format. 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 public offices as defined in s.3 of the *State Records Act 1998*, except for those public offices to which Part 2 of the Act does not apply. The standard covers all State records in any format, but excludes the storage of digital records in systems or on network servers, in data centres, or in the cloud.

Authority

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

Approved

This standard was approved by Adam Lindsay, Acting Executive Director, State Archives and Records Authority of New South Wales, on 13 December 2018.

Introduction

1.1 Purpose

As the NSW Government rapidly transforms to digital business operations, the challenge for public offices is to manage the legacy of paper and physical records until these older paper records are time-expired and can be destroyed or transferred as State archives.

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

- storage for records is cost-effective and efficient
- all records are secure, protected, and accessible for as long as they are required, to meet business and accountability needs, and that
- all records identified as *required as State archives* are stored in the best conditions possible.

1.2 Authority of this standard

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

1.3 Who should use this standard

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.

The standard applies to records created and maintained by contractors and service providers on behalf of public offices in the course of outsourced government business.

The requirements of the standard are applicable to all storage areas and facilities which are controlled and managed by the public office. Public offices engaging commercial storage services should ensure that the storage area/facility and services to be provided under a contractual arrangement meet the requirements of the standard.

1.4 Scope of this standard

This standard covers records in the control of the public office which have a physical format. It covers:

- 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,
- optical media such as CDs and DVDs, and
- digital records stored on tapes, disks, or portable hard drives.

USB memory sticks should not be used for the short or long term storage of records.

This standard does not cover:

- active records, as these are likely to be created on a digital format and stored in network servers or data centres, or the cloud

- storage of digital records on network servers, in data centres, or in the cloud, or the
- storage of State archives.

Records identified as *required as State archives* in retention and disposal authorities are to be stored in the best conditions practically possible while the records are still under the control of the public office. This includes records that are subject to *still in use determinations* under section 28 of the *State Records Act 1998*. At the very minimum, records required as State archives, should be kept according to the requirements in this standard. 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 the agreement rather than this standard.

The standard covers the following:

- **short term storage** of records (records required to be retained for up to 10 years);
- **medium term storage** of records (records required to be retained 10-30 years); and
- **long term storage** of records (records which have long retention periods of more than 30 years) and those that potentially may be required as State archives.

This standard is supported by a range of guidance available from www.records.nsw.gov.au/recordkeeping.

1.5 Background

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, NSW State Archives and Records has previously issued *Standard on the physical storage of State records* (Standard No. 3, 2000) and the *Standard on the physical storage of State records* (Standard No. 11, 2012). Each standard was accompanied by a range of guidance to assist public offices in implementing the standard. Following consultation with public offices, the 2012 standard has been revised.

1.6 Structure

This standard sets out six principles for managing the storage of semi-active State records. Under each principle there is a brief explanation of the principle, and identified compliance requirements.

1.7 Definitions

For the purposes of this standard the following definitions apply. Terms that have not been referenced are taken from NSW State Archives and Records’ sources. All other sources are provided in brackets after the definition.

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*, 3rd edition, Australian Society of Archivists, 2008, p. 86)

Integrated pest management also includes response strategies such as spraying and appropriate treatments.

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, s.3(1), Definitions*)

Semi-active records

Records required infrequently in the conduct of current business and stored in a secondary storage area or facility.

Senior Responsible Officer (SRO)

The Senior Responsible Officer (SRO) is the individual within the public office who has been delegated strategic and corporate responsibility for records and information management. The SRO is responsible for ensuring that records and information management is in place and operating effectively to support business operations and is usually a senior manager reporting to Chief Executive or to the Chief Information Officer. The role of the SRO is established under the [Standard on records management](#), minimum compliance requirement 1.3.

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 area

A room, compactus or space within a storage facility or building whose primary purpose is to store records.

Storage facilities

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

1.8 Acknowledgements

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

1.9 Further information

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

Principles

Principle 1: Records are stored in appropriate storage areas and facilities and located away from known and unacceptable risk.

Risk assessments should be undertaken of all storage areas and facilities used to store records to identify and mitigate possible risks.

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

Records **should not** be stored in locations that risk exposure to high or fluctuating temperatures or the likelihood of water incursions, such as attics or basements. These areas can only be used for records storage if appropriate measures are undertaken to mitigate risks.

The Senior Responsible Officer for records management (SRO) or delegate, should ensure that all records storage areas and facilities used by the public office, including arrangements with commercial providers, have been inspected to ensure that they are appropriate for the storage of records and approved for use by the public office. Records storage areas and facilities should be regularly inspected to confirm that requirements are being met.

Under section 15 of the *State Records Act 1998*, NSW State Archives and Records has the authority to inspect storage areas and facilities being used by the public office for the storage of State records.

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
- bushfire-prone areas.

If any of these risks are present, they should be included in the public office's risk register and mitigated through a range of protection measures including the business continuity and counter disaster plans.

Records storage areas within buildings should be isolated from hazards and not co-located with kitchens and toilets, overhead plumbing, drainage pipes, chemical storage areas, flammable materials, electrical plants, machinery or air conditioning units.

Buildings and construction

Buildings chosen as records storage facilities should:

- be suitable and appropriate for the storage of records
- be conveniently located for user needs
- 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

- be weatherproof
- have good guttering, drainage and water run-off
- be insulated to assist in controlling temperature and relative humidity in storage areas
- have sufficient floor loading capacity to safely support the weight of fully loaded shelving and racking for the storage of records and any other equipment required in the storage area
- be secure against intruders
- have controlled access, and
- be 'fit for purpose'.

Wherever possible, within the building, walls should divide storage areas from non-storage areas such as work spaces and loading docks. Storage rooms or equipment should be lockable and access controlled. See *Principle 6* for further information on security and zones within storage areas/facilities for security classified records.

See *Principle 2* for environmental conditions for storage areas and facilities.

New storage facilities 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.

Storage areas and facilities should have appropriate and comprehensive fire detection and protection systems and equipment.

Counter disaster measures

All records storage areas and facilities, including storage facility and services provided under a commercial contractual arrangement, should have current counter disaster reaction and recovery plans. These plans should be linked to the public office's business continuity 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.

Records in storage areas and facilities should be insured for recovery and restoration in the event of a disaster. Additionally, the public office should ensure that NSW State Archives and Records is notified if there is damage or loss to records as a result of a natural disaster, storm, flooding, fire, contamination or technology disruption. This official notification should be made as soon as practically possible after the event has occurred.

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
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 and mitigation documentation. Risk issues are addressed in the public office's risk register and business continuity plan. Risk assessment reports of commercial storage facility and storage areas used for storing records identifying conformity with requirements of the standard.

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
<p>2. The Senior Responsible Officer or appropriate agency representative has approved all records storage areas and facilities.</p>	<p>Records management policy identifies that the Senior Responsible Officer or delegate is responsible for ensuring that all records storage areas and facilities have been inspected and approved for use.</p> <p>Records management policy identifies that records should only be stored in approved and appropriate storage areas and facilities.</p> <p>Assessment/inspection reports/documentation of storage areas/facilities used by the public office, including commercial storage facilities.</p>
<p>3. The storage facilities have been assessed as being suitable for the storage of records.</p>	<p>Assessment/inspection reports/documentation of storage areas/facilities used by the public office, including commercial storage facilities.</p> <p>A storage plan which details measures and safeguards implemented in storage areas and facilities to protect records from fire and water influx (from above, below or through walls or openings).</p> <p>Structural engineer's report identifying that storage area/facility has sufficient floor loading capacity to support records and equipment when at full capacity.</p> <p>Shelving contractor's report that installed shelving does not exceed agreed floor loading limits.</p> <p>Risk assessment reports of commercial storage facility used for storing records identifying conformity with requirements of the standard.</p>
<p>4. Records storage facilities built since 2011 are compliant with the Building Code of Australia and associated codes at the time of construction.</p>	<p>Certificates of occupancy.</p> <p>Risk assessment reports which demonstrate that the storage facility meets the Building Code requirements, including relevant fire-resistance levels.</p> <p>Assessment/inspection reports/documentation of storage areas/facilities used by the public office, including commercial storage facilities.</p>

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
<p>5. Storage areas and facilities are weatherproof and have good drainage.</p>	<p>Assessment/inspection reports/documentation of storage areas/facilities used by the public office, including commercial storage facilities.</p> <p>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).</p>
<p>6. Storage areas and facilities are dedicated to either records or records/library materials storage.</p>	<p>Documentation on establishment and maintenance of a dedicated area/facility for storing records (i.e. storage outside of the office environment).</p> <p>Assessment/inspection reports/documentation of storage areas/facilities used by the public office, including commercial storage facilities.</p>
<p>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.</p>	<p>Certificates of occupancy.</p> <p>Risk assessment reports which demonstrate that the facility meets the Building Code requirements, including relevant fire-resistance levels.</p> <p>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 the Building Code of Australia.</p> <p>Assessment/inspection reports/documentation of storage areas/facilities used by the public office, including commercial storage facilities.</p>

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
<p>8. 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.</p>	<p>A documented and up-to-date disaster reaction and recovery plan along with records of tests, results and evidence that it is reviewed.</p> <p>NSW State Archives and Records has been advised by the public office's Senior Responsible Officer (SRO) when there is damage or loss to records due to a disaster.</p> <p>Procedures for responding to disasters affecting records include official notification to NSW State Archives and Records if there is damage or loss to records as a result of a natural disaster, storm, flooding, fire, contamination or technology disruption.</p> <p>Assessment/inspection reports/documentation of storage areas/facilities used by the public office, including commercial storage facilities.</p>
<p>9. Insurance for the recovery and restoration of records in the event of a disaster.</p>	<p>Public office has appropriate insurance coverage for the recovery and restoration of records in the event of a disaster.</p>

Principle 2: Records are stored in environmental conditions appropriate to their format and retention period.

Environmental conditions within storage areas and facilities have a major impact on the preservation or deterioration of physical records and particular formats (e.g. magnetic tape and photographic media). 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.

All records should be sentenced for disposal using the appropriate retention and disposal authorities before the records are transferred to a storage area or facility. Understanding how long a record is required to be kept before it can be disposed of or transferred to NSW State Archives and Records will assist in ensuring that records are stored in the correct type of storage with appropriate environmental storage conditions.

NSW State Archives and Records recognises that many public offices have difficulties in implementing and maintaining appropriate storage environment conditions. We recommend that public offices implement the storage environment conditions and housing requirements as practically and sustainably as possible, and prioritise/implement the best storage environment conditions possible for those long term records and State archives in their control.

Short and medium term records, i.e. records that are only to be retained for **30 years or less**, should be stored in good storage conditions until they are authorised for destruction. Conditions for short term records are not as exacting as the conditions for long term records/archival storage. See [Table A - Storage environment conditions and housing requirements for short and medium term temporary records](#).*

Long term records, i.e. records that are retained for **30 years or longer** or those records required to be transferred as State archives, should be stored in the best environmental conditions possible. See [Table B - Storage environment conditions and housing requirements for long term temporary records and State archives](#).*

* *These requirements are based on temperature and humidity controls defined in international or Australian standards.*

Temperature and humidity

The records storage area or facility should provide a stable environment, without major fluctuations in temperature or Relative Humidity. Fluctuations in temperature and Relative Humidity will cause deterioration. Increases in temperature lead to increased rates of change and deterioration, while increased moisture and humidity will lead to the growth of mould in storage areas.

There should be regular monitoring of temperature and humidity levels in storage areas and facilities. Action and mitigation strategies should be taken to address any fluctuations in temperature or humidity levels.

A stable storage environment can be achieved through building design and construction, insulation from the external climate, and a suitable location for the storage area/facility, rather than dependence on air conditioning.

Where possible the storage environment should be based on the requirements of the format of the records. **High sensitivity items** require more stringent environmental controls and should be separated from other records so that their special requirements can be met in an isolated storage facility, e.g. photographic media (black and white, or colour), magnetic media, optical media and mixed media items, should be stored separate to paper-based records and require more rigorous temperature and humidity controls.

Records identified as long term temporary or as State archives should be removed from short term temporary records storage and placed in environmentally controlled storage and maintained at temperature and humidity levels as described in **Table B**. Records subject to 'still in use' determinations that are of archival value and should be stored according to **Table B**.

Light

All forms of light can damage records. Reducing exposure to direct sunlight and light in storage areas will minimise damage to records.

Direct sunlight should not enter the storage area and all windows should be heavily screened. Lighting in storage areas and facilities should be movement-activated or time-limited, and have zero or very low UV output.

Records should be stored in boxes or containers 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 through selection of the location (see *Principle 1*), the choice of building and shelving materials, and filtration systems to exclude dust, pollen and other pollutants.

Good ventilation within storage areas and facilities is important, with intakes of fresh air. Air circulation prevents 'pockets' of stagnate air and assists with maintaining constant temperature and humidity. If air does not circulate naturally, then a ventilation system must be used.

Pest management

Records, particularly paper records, are an attractive food source for a range of insects, rodents and other vermin. There should be an integrated pest management in place for all storage areas and facilities. Integrated pest management is a low-toxicity means to control pests and mould. Storage areas and facilities should be monitored for rats, mice, silverfish, and cockroaches.

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.

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
<p>1. Short term records (to be retained for only 10 years or less) are stored in conditions which ensure preservation until they are no longer required.</p>	<p>Records are sentenced using authorised retention and disposal authorities before transfer to storage.</p> <p>Assessment reports which confirm that short term temporary records have been placed in appropriate storage conditions for their retention periods.</p> <p>Inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p>

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
<p>2. Medium term records (to be retained for 10-30 years) are stored in conditions which ensure preservation until they are no longer required.</p>	<p>Records are sentenced using authorised retention and disposal authorities before transfer to storage.</p> <p>Temperature and humidity logs for storage areas.</p> <p>Assessment reports which confirm that medium term temporary records have been placed in appropriate storage conditions for their retention periods.</p> <p>Inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p>
<p>3. Long term records (to be retained for 30 years or longer) and those identified as State archives are stored in conditions which will ensure their preservation.</p>	<p>Records are sentenced using authorised retention and disposal authorities before transfer to storage.</p> <p>Assessment reports which confirm that long term records have been placed in appropriate storage conditions for their retention periods.</p> <p>Assessment reports which confirm that records identified as State archives are in appropriate storage conditions.</p> <p>Temperature and humidity logs for storage areas.</p> <p>Inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p>
<p>4. Temperature and humidity levels within storage areas and facilities are monitored for stability and action taken to minimise any significant fluctuations.</p>	<p>Assessment reports which identify appropriate storage conditions for records in storage areas and facilities.</p> <p>Temperature and humidity logs for storage areas/facilities.</p> <p>Reports on monitoring of temperature and humidity in each storage area / facility</p> <p>Inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p>

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
5. Records are stored away from direct light, including sunlight.	<p>Risk assessment reports which detail how the impact of sunlight and UV light on records has been minimised in storage areas/facilities.</p> <p>Inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p>
6. The air in records storage areas circulates freely and there is an intake of fresh air.	<p>Documentation of maintenance for any air circulation system in use.</p> <p>Inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p>
7. Magnetic media is protected from magnetic fields.	<p>Use of special packaging for magnetic media.</p> <p>Inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p>
8. Records storage areas and facilities have an integrated pest management system.	<p>Pest management logs.</p> <p>Inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p>

Principle 3: Shelving, equipment and containers used for storing records are secure, accessible and protected from deterioration.

Using appropriate shelving and equipment ensures that records are accessible, secure and protected.

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 the records are required. They should be:

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

Shelving should be:

- raised off the floor by 85-150mm as a flood/disaster precaution
- lockable if the shelving is required to hold security classified records or records containing sensitive information, and
- configured within the storage area to ensure that ventilation is not restricted.

Magnetic media should only be stored on non-magnetisable shelving.

Containers for records

Containers (i.e. boxes and other types of housings) play a critical role in protecting records from light, dust, fluctuations in temperature and humidity, and unauthorised access.

Containers should be:

- appropriate to the record format and retention
- appropriate for the weight and size of the record
- appropriate for the record's security classification
- made from durable material capable of sustaining expected use
- in good condition, and
- the correct size and shape for the shelving configuration in use.

All records should be sentenced for disposal using authorised retention and disposal authorities before the records are placed in containers and transferred to storage. Understanding the retention period of the records will assist in determining the appropriate container, wrappings, envelopes, boxes or other enclosures needed to promote the survival of the record for as long as it is required.

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
<p>1. Shelving and handling equipment is clean, in good condition and appropriate to the format and security requirements of the records.</p>	<p>Plans for the storage area/facility identify appropriate shelving and handling equipment for records of different types of formats and security requirements.</p> <p>Inspection logs/documentation confirm that appropriate shelving and handling equipment is used, clean and in good condition.</p>
<p>2. Containers are clean, in good condition, and appropriate for the format, retention and security requirements of the records they hold.</p>	<p>Plans for the storage area/facility identify appropriate containers for records of different types of formats, retention periods, and security requirements.</p> <p>Inspection logs/documentation confirm that appropriate containers are being used to house records, and that damaged or dirty containers are being replaced.</p> <p>Assessment reports identify that security classified records are stored in appropriate containers.</p> <p>Records storage procedures cover the selection and appropriate use of containers.</p>
<p>3. Records storage facilities, shelving, equipment, and containers meet workplace health and safety requirements.</p>	<p>WH&S risk assessment reports.</p> <p>Safe working practice assessments.</p>

Principle 4: A regular maintenance and monitoring program for records storage areas has been implemented.

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

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

Maintenance and monitoring programs

Maintenance and monitoring programs for records storage should be included in the public office's building maintenance program. Maintenance and monitoring programs involve inspecting and mitigating any issues identified with:

- changes in environmental conditions, including light and pollution levels, temperature and humidity
- potential disaster incidents, e.g. following storm events
- presence of mould and/or pest infestation
- building surrounds and fabric
- physical security of buildings, storage areas, and security zones within storage areas
- internal factors, including electrical equipment and pipes, and structures like shelving
- cleanliness of storage areas, and
- fire detection mechanisms such as alarms, sprinkler systems and extinguishers.

Regular monitoring of records storage areas and facilities also ensures that any new risks are identified and managed as part of the risk register for the records storage area or facility.

If the public office uses a commercial facility, arrangements should be made with the storage provider for reports to be provided on inspections of the storage areas and facility housing State records, and advice on any mitigation actions that have been undertaken to address any issues.

Maintenance and monitoring programs for records involves regularly checking a sample of records and containers across the storage facility for:

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

It is very important that boxes, containers etc. are opened and the physical condition of the records checked.

If mould or pest infestation is identified, NSW State Archives and Records must be notified and the problem must be treated promptly. 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 NSW State Archives and Records.

Staff working in storage areas or facilities should receive training in identifying:

- potential risks to records, and
- records which may require conservation treatments.

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
1. Records storage areas and facilities are clean and maintained.	<p>Building maintenance and pest inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p> <p>Documentation of maintenance undertaken to mitigate risks.</p> <p>Maintenance reports which detail corrective and preventative work undertaken.</p>
2. Regular checks of records and containers in the storage facility to identify any signs of pest infestation, mould, or other deterioration.	<p>Building maintenance and pest inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p> <p>Pest management documentation.</p> <p>Assessment reports identify any records or containers which have signs of pest infestation, mould, or other deterioration.</p>
3. Mould or pest infestation is treated promptly and appropriately.	<p>Building maintenance and pest inspection reports of storage areas/facilities used by the public office, including commercial storage facilities.</p> <p>Pest management documentation, including information on treatments undertaken to remove pest infestation.</p> <p>Procedures for responding to mould or pest infestations affecting records include notifying NSW State Archives and Records and treating the problem promptly.</p> <p>Conservation reports.</p>
4. Appropriate conservation action is undertaken as required but repairs to records do not damage the records further.	<p>Documentation of notification of NSW State Archives and Records and agreement to proposed treatments/repairs to records.</p> <p>Conservation reports.</p>

Principle 5: Records are controlled in a system so that they can be identified, located and retrieved.

Records need to be sufficiently identified and described so that they can be easily and promptly retrieved from storage when required. Records may be required for business purposes, legal proceedings, official enquiries or public access.

Mechanisms for improving accessibility to records in storage facilities should be balanced with the need to safeguard and protect records against unauthorised access or theft.

Controls

Standards for documentation and location control should be implemented, e.g. labelling of containers, box lists or databases of what records are stored in which container and location, and numbering systems for boxes and shelf locations.

Individual record items and containers of records should be registered into the public office'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.

If the public office uses a commercial facility, then the public office should ensure that the storage provider is capturing appropriate metadata about the records and containers in its care. If the storage provider digitises records for transmission/return to the public office (e.g. a 'digitisation on demand' service), the public office should ensure that it has established arrangements with the storage provider about the

- capture of accurate metadata into the service provider's systems, and
- the retention and disposal of the metadata concerning records and containers once the records are no longer in the care or storage of the provider.

Machinery of government changes, or other business transformation models such as *outsourcing* or *privatisation*, may result in changes to which public office has control of records located in a storage facility (see sections 6 and 7 of the *State Records Act 1998*). If a function of public office is no longer undertaken by the public office, then it is important that control and access of these records in storage is addressed as part of the transfer of functions to the public office that *now* controls the records. Storage providers should also be informed of any changes to the control of records, so that storage costs, decisions about records and access to records can be correctly administered.

Handling records

Records of all formats will be damaged if they are not handled correctly. Retrieving records from storage areas or facilities should be subject to controls in order to prevent damage, deterioration, or dissociation.

Policy and procedures for handling records of all formats should be known and communicated to all staff and users. The procedures should also include guidance on transporting 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.

Records with security classifications or containing sensitive information should be handled in accordance with NSW Government requirements and the Australian Government [Protective Security Policy Framework](#).

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

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 NSW State Archives and Records, that long term or records identified as State archives are converted to other formats, i.e. digitised.

Records should be digitised or converted in accordance with the requirements of the *General retention and disposal authority: Original or source records that have been copied (GA 45)*.

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 (GA 45)*.

If a public office digitises records required as State archives, then once these records have been digitised, arrangements should be made to transfer the original records to the State Archives Collection. Please note that NSW State Archives and Records requires a set of the digital copies of any State archives that have been digitised by a public office.

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
<p>1. Records are controlled in a system which allows them to be identified, located, retrieved, and returned to storage after use.</p>	<p>The plan for the storage area/facility includes information on the physical and intellectual control of records.</p> <p>Documented and implemented systems and metadata for the physical and intellectual control of records in storage areas/facilities which allows for the effective identification, retrieval and tracking of records.</p> <p>Recordkeeping system includes information on the location of records within storage areas and the tracking of the movement of records.</p> <p>Contracts with service providers include clauses requiring the tracking of movement and location of records, and the capture of appropriate metadata about the records and containers.</p> <p>Procedures for identification and tracking of record locations.</p>

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
<p>2. Procedures for the appropriate handling and use of records are defined and communicated to all users.</p>	<p>Procedures include the retrieval, handling, safe transport of records, and the return of records to storage.</p> <p>Inspection logs/documentation confirm that records are being retrieved from storage and handled correctly.</p>
<p>3. Policies and procedures are implemented to ensure that records of long term value and archives are handled with care.</p>	<p>Procedures include the retrieval, handling, safe transport of records, and the return of records to storage.</p> <p>Inspection logs/documentation confirm that long term records and records identified as State archives are being retrieved from storage and handled correctly.</p>
<p>4. If a public office chooses to convert or digitise records, then records are converted or digitised according to recognised standards.</p>	<p>Digitisation is undertaken in accordance with requirements in section 2 of the <i>General retention and disposal authority: Original or source records that have been copied (GA45)</i>.</p> <p>Documentation for digitisation processes.</p> <p>Documentation of notification to NSW State Archives and Records and agreement of proposed digitisation of long term or State archives.</p>

Principle 6: Records are protected against theft, misuse, unauthorised access or modification.

All records in all formats require a basic level of security to prevent misuse and unauthorised access and ensure their authenticity and integrity. Records with security classifications (e.g. protected, secret, top secret), or containing sensitive information, should be handled, protected, stored and disposed of according to NSW Government requirements and the Australian Government [Protective Security Policy Framework](#).

Security measures include:

- access controls on storage areas and facilities to prevent intruders
- use of security zones for the storage of security classified or sensitive information
- restricting access to storage areas and facilities to authorised staff
- staff working in storage areas containing security classified or sensitive information have appropriate security clearances
- storing and protecting records according to [NSW Government security requirements for the identification, storage and handling of information](#) and the Australian Government [Protective Security Policy Framework](#)
- using secure processes for the disposal of records with security classifications or containing sensitive information according to [NSW Government security requirements for the identification, storage and handling of information](#) and the Australian Government [Protective Security Policy Framework](#)
- security monitoring of storage areas and facilities whereby access is trackable and auditable, and
- ensuring that records are not left unattended or unsecured when in transit.

Serious breaches (including those that may relate to personal information) should be reported to the Senior Responsible Officer and to the public office's Chief Information Officer, and assessed to ensure rectification action is taken.

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
<p>1. Storage areas and facilities are access controlled, restricted to authorised staff, intruder resistant, and monitored.</p>	<p>Plans of the storage area/facility and assessment reports include details of security measures implemented to protect records (e.g. locks, keying systems, alarms, CCTV, motion detection, perimeter access control systems, intruder detection devices, back-to-base monitoring, appropriate containers, lockable shelving or strongrooms).</p> <p>Plans of the storage area/facility include details of access monitoring and reporting.</p> <p>Access logs which record all entry to storage areas and facilities.</p> <p>Documentation confirming that all staff have appropriate security clearances.</p> <p>Assessment/inspection reports/documentation of storage areas/facilities used by the public office, including commercial storage facilities, confirm that security measures are working correctly.</p>

Minimum compliance requirements	Examples of how a public office can demonstrate compliance with the requirement
	<p>Contracts with storage providers include specific security, confidentiality, and authorised access requirements.</p> <p>Incident reports regarding any unauthorised access to any storage areas or facilities used by the public office, including commercial storage facilities.</p>
<p>2. Security classified records are stored in appropriate containers and storage zones within the storage area.</p>	<p>Assessment reports of storage areas and facilities used by the public office, including commercial storage facilities, identify that security classified records are stored in appropriate containers and security storage zones within the facility or storage area.</p> <p>Plans of storage areas/facilities, including commercial storage facilities used by the public office, include details of appropriate containers, and the handling and storage of security classified, sensitive, and confidential records.</p> <p>Procedures which detail how to store and handle information with different security classifications.</p>
<p>3. Records in transit are protected.</p>	<p>Procedures for the safe transport of records include information on secure transport options, and appropriate handling of records.</p> <p>Security classified records are transported in appropriate containers and encryption is used if transporting digital records on physical carriers (i.e. portable hard drives, USB sticks etc.).</p> <p>Incident reports regarding any unauthorised access or theft of records in transit.</p>

Table A - Storage environment conditions and housing requirements for short and medium term temporary records (records that are only required to be retained for up to 30 years)

Record format type	Environmental conditions			Protection	
	Temperature/ Relative Humidity (RH)	Air quality	Lighting	Housing/Shelving	Containers/Packaging
Paper: <ul style="list-style-type: none"> Files Cards Volumes Computer print-outs and other papers 	<ul style="list-style-type: none"> 15 – 27°C 30 – 60% RH Avoid fluctuations	Well ventilated	Ambient light	Coated metal shelving	Robust, clean containers Clean file covers, folders or envelopes
Paper: <ul style="list-style-type: none"> Maps Plans Charts 	<ul style="list-style-type: none"> 15 – 27°C 30 – 60% RH Avoid fluctuations	Well ventilated	Ambient light	Coated metal shelving or plan cabinets Rolled or vertical storage	Robust, clean containers Individual enclosures not required
Photographic media Black & White or colour <ul style="list-style-type: none"> Sheet file Cine film X-rays Microforms Prints 	<ul style="list-style-type: none"> 20°C ± 2°C 50% RH ± 5% 	Well ventilated <i>Vinegar syndrome contaminated files and nitrate films must be isolated from other materials</i>	Ambient light	Coated metal shelving	Robust, clean containers Clean folders or enclosures
Magnetic media <ul style="list-style-type: none"> Computer tapes and disks Video tapes Audio tapes Magneto-optical disks (Mini discs) 	<ul style="list-style-type: none"> 20°C ± 2°C 50% RH ± 5% 	Well ventilated	Ambient light	Non-magnetisable shelving	Non-magnetisable sealed containers, cassettes cases or sleeves
Optical media <ul style="list-style-type: none"> CDs, DVDs Laser discs 	<ul style="list-style-type: none"> 20°C ± 2°C 50% RH ± 5% 	Well ventilated	Ambient light	Coated metal shelving	Robust clean containers Clean envelopes or enclosures

Source: National Archives of Australia, *Standard for the Physical Storage of Commonwealth Records, Table B – Guidelines for storage of records up to 30 years in non-tropical environments*, December 2002. Ted Ling, *Solid, Safe, Secure: Building Archives Repositories in Australia*, 1998.

Table B - Storage environment conditions and housing requirements for long term temporary records & State archives

Record format type	Environmental conditions				Protection		
	Temperature / Relative Humidity (RH)	Fluctuations	Air quality	Lighting	Housing	Containers	Packaging
Paper records: <ul style="list-style-type: none"> Files Cards Computer print-out Maps Plans Charts Posters 	16 – 25°C	<ul style="list-style-type: none"> tolerable daily change of 3°C there is no 'set point', any reading within this range is acceptable continuous control required 	Well ventilated and filtered to exclude dust and other particles, acidic and oxidising gases	UV filtered fluorescent lighting Timer controlled switches	Powder coated or baked enamel metal shelving or plan cabinets. Maps, plans and charts to be stored flat, otherwise rolled storage.	Archival quality acid-free boxes, folders or containers	Archival quality acid-free file covers, folders or envelopes, sleeves, enclosures. Sturdy plan folders of archival quality board. Fragile items should be interleaved with archival quality paper. Items that cannot be stored flat due to size should be rolled around a core and stored within a larger tube
	30 – 60% RH	<ul style="list-style-type: none"> tolerable daily change of 10% there is no 'set point', any reading within this range is acceptable continuous control required 					
Composite and sensitive materials: <ul style="list-style-type: none"> Bound volumes Parchment documents 	17 – 23°C	<ul style="list-style-type: none"> tolerable daily change of 3°C there is no 'set point', any reading within this range is acceptable continuous control required 	Well ventilated and filtered to exclude dust and other particles, acidic and oxidising gases	UV filtered fluorescent lighting Timer controlled switches	Powder coated or baked enamel metal shelving	Archival quality acid-free boxes, containers	Archival quality acid-free file covers, folders or envelopes. Small volumes can be stored vertically. Large volumes should be stored horizontally, no more than 2 high. If volumes are damaged, they should be stored in tailor-made boxes or slipcases of archival quality board.
	40 – 50% RH	<ul style="list-style-type: none"> tolerable daily change of 5% there is no 'set point', any 					

		<p>reading within this range is acceptable</p> <ul style="list-style-type: none"> • continuous control required 					
Black & White (silver gelatine) photographic prints	17 – 23°C	<ul style="list-style-type: none"> • tolerable daily change of 3°C • there is no 'set point', any reading within this range is acceptable • continuous control required 	<p>Well ventilated and filtered to exclude dust and other particles, acidic and oxidising gases</p>	<p>UV filtered fluorescent lighting Timer controlled switches</p>	<p>Powder coated or baked enamel metal shelving</p>	<p>Archival non-buffered containers that have passed the Photographic Activity Test (PAT)</p>	<p>Archival non-buffered enclosures that have passed the Photographic Activity Test (PAT)</p>
	40 – 50% RH	<ul style="list-style-type: none"> • tolerable daily change of 5% • there is no 'set point', any reading within this range is acceptable • continuous control required 					
Photographic media: <ul style="list-style-type: none"> • Sheet film • Cine film • Colour print material • Historic photographic prints • X-rays • Microforms • Glass plate negatives • Lantern slides • Photographic media with vinegar syndrome (requires 	3 – 5°C	<ul style="list-style-type: none"> • tolerable daily change of 1°C • there is no 'set point', any reading within this range is acceptable • continuous control required • records must be acclimatised when being moved in and out of storage space 	<p>Well ventilated and filtered to exclude dust and other particles, acidic and oxidising gases</p> <p><i>Vinegar syndrome and nitrate films must be isolated from other materials</i></p>	<p>UV filtered fluorescent lighting Timer controlled switches</p>	<p>Powder coated or baked enamel metal shelving. Glass plates/lantern slides must be on stationery shelving. Require vertical storage.</p>	<p>Boxes of inert polypropylene which has passed the Photographic Activity Test (PAT) or archival quality cardboard boxes Glass plates/lantern slides require additional shock protection. All products used for this purpose should have passed the Photographic Activity Test</p>	<p>Archival non-buffered containers, wallets, folders or envelopes that have passed the Photographic Activity Test (PAT)</p> <p>Films should be stored horizontally, stacked no more than 6 cans high for 16mm film and no more than 3 high for 35mm film.</p>
	35 – 45% RH	<ul style="list-style-type: none"> • tolerable daily change of 5% • there is no 'set point', any reading within 					

isolation from other materials)		<p>this range is acceptable</p> <ul style="list-style-type: none"> continuous control required 				(PAT) Cine film should be stored on polypropylene cores and in film canes that have passed the Photographic Activity Test (PAT).	
Magnetic media <ul style="list-style-type: none"> Computer tapes and disks Video tapes Audio tapes Magneto-optical disks (Mini discs) 	7 – 9°C	<ul style="list-style-type: none"> tolerable daily change of 1°C there is no 'set point', any reading within this range is acceptable continuous control required records must be acclimatised when being moved in and out of storage space 	Well ventilated and filtered to exclude dust and other particles, acidic and oxidising gases	UV filtered fluorescent lighting Timer controlled switches	Non-magnetisable shelving	Non-magnetisable, archival quality containers, cassette cases or sleeves Boxes of inert polypropylene which has passed the Photographic Activity Test (PAT) or archival quality cardboard boxes	Archival non-buffered containers, wallets, folders or envelopes that have passed the Photographic Activity Test (PAT)
	35 – 45% RH	<ul style="list-style-type: none"> tolerable daily change of 5% there is no 'set point', any reading within this range is acceptable continuous control required records must be acclimatised when being moved in and out of storage space 					
Optical media: <ul style="list-style-type: none"> CDs, DVDs Laser discs 	3 – 5°C	<ul style="list-style-type: none"> tolerable daily change of 1°C there is no 'set point', any 	Well ventilated and filtered to exclude dust and other	UV filtered fluorescent lighting Timer	Powder coated or baked enamel metal shelving or plan cabinets.	Boxes of inert polypropylene which has passed the	Archival non-buffered containers, wallets, folders or envelopes that have passed the

		<p>reading within this range is acceptable</p> <ul style="list-style-type: none"> • continuous control required • records must be acclimatised when being moved in and out of storage space 	particles, acidic and oxidising gases	controlled switches		Photographic Activity Test (PAT) or archival quality cardboard boxes	Photographic Activity Test (PAT)
	35 – 45% RH	<ul style="list-style-type: none"> • tolerable daily change of 5% • there is no 'set point', any reading within this range is acceptable • continuous control required 					
Gramophone discs	3 – 5°C	<ul style="list-style-type: none"> • tolerable daily change of 1°C • there is no 'set point', any reading within this range is acceptable • continuous control required • records must be acclimatised when being moved in and out of storage space 	Well ventilated and filtered to exclude dust and other particles, acidic and oxidising gases	UV filtered fluorescent lighting Timer controlled switches	Powder coated or baked enamel metal shelving Stationary shelving Gramophone disks require vertical storage	Boxes of inert polypropylene which has passed the Photographic Activity Test (PAT) or archival quality cardboard boxes	Archival non-buffered containers, wallets, folders or envelopes that have passed the Photographic Activity Test (PAT)
	35 – 45% RH	<ul style="list-style-type: none"> • tolerable daily change of 5% • there is no 'set point', any reading within this range is acceptable • continuous control required 					

Miscellaneous: <ul style="list-style-type: none"> • Models • Objects • Mixed media items 	17 – 23°C	<ul style="list-style-type: none"> • tolerable daily change of 3°C • there is no 'set point', any reading within this range is acceptable • continuous control required 	Well ventilated and filtered to exclude dust and other particles, acidic and oxidising gases	UV filtered fluorescent lighting Timer controlled switches	Powder coated or baked enamel metal shelving Stationary shelving	Archival quality acid-free containers or boxes	Archival quality acid-free enclosures or wrapping All packaging and wrapping materials should have passed the Photographic Activity Test (PAT). Large/heavy items may be in wooden crates. The wood should be varnished to seal it and the varnish well-aired before the crate is put into use.
	40 – 50% RH	<ul style="list-style-type: none"> • tolerable daily change of 5% • there is no 'set point', any reading within this range is acceptable • continuous control required 					
Preservation master film material: <ul style="list-style-type: none"> • Sheet film • Cine film 	-20°C - 10°C	<ul style="list-style-type: none"> • tolerable daily change of 3°C • there is no 'set point', any reading within this range is acceptable • continuous control required • records must be acclimatised when being moved in and out of storage space 	Well ventilated and filtered to exclude dust and other particles, acidic and oxidising gases Vinegar syndrome and nitrate films must be isolated from other materials	UV filtered fluorescent lighting Timer controlled switches	Powder coated or baked enamel metal shelving or plan cabinets.	Cine film should be stored on polypropylene cores and in film canes that have passed the Photographic Activity Test (PAT).	Archival non-buffered enclosures that have passed the Photographic Activity Test (PAT) Films should be stored horizontally, stacked no more than 6 cans high for 16mm film and no more than 3 high for 35mm film.
	35 – 45% RH	<ul style="list-style-type: none"> • tolerable daily change of 5% • there is no 'set point', any reading within this range is acceptable • continuous control required • records must be 					

		acclimatised when being moved in and out of storage space					
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Source: National Archives of Australia, *Standard for the Physical Storage of Commonwealth Records, Table C – Guidelines for storage of records 30 years of age or over in all climatic regions*, December 2002. Ted Ling, *Solid, Safe, Secure: Building Archives Repositories in Australia*, 1998. National Archives of Australia, *Standard for the storage of archival records*, June 2014.

Appendix A – Consolidated list of compliance requirements

Principle 1: Records are stored in appropriate storage areas and facilities and located away from known and unacceptable risk.			
		YES	NO
1.1	The location of each records storage area and facility has been subject to risk assessment to identify and mitigate possible risks to records.		
1.2	The Senior Responsible Officer or appropriate agency representative has approved all records storage areas and facilities.		
1.3	The storage facilities have been assessed as being suitable for the storage of records.		
1.4	Records storage facilities built since 2011 are compliant with the Building Code of Australia and associated codes at the time of construction		
1.5	Storage areas and facilities are weatherproof and have good drainage.		
1.6	Storage areas and facilities are dedicated to either records or records/library materials storage.		
1.7	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.		
1.8	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.		
1.9	Insurance for the recovery and restoration of records in the event of a disaster.		
Principle 2: Records are stored in environmental conditions appropriate to their format and retention period.			
		YES	NO
2.1	Short term records (to be retained for only 10 years or less) are stored in conditions which ensure preservation until they are no longer required.		
2.2	Medium term records (to be retained for 10-30 years) are stored in conditions which ensure preservation until they are no longer required		
2.3	Long term records (to be retained for 30 years or longer) and those identified as State archives are stored in conditions		

	which will ensure their preservation		
2.4	Temperature and humidity levels within storage areas and facilities are monitored for stability and action taken to minimise any significant fluctuations.		
2.5	Records are stored away from direct light, including sunlight.		
2.6	The air in records storage areas circulates freely and there is an intake of fresh air.		
2.7	Magnetic media is protected from magnetic fields.		
2.8	Records storage areas and facilities have an integrated pest management system.		
Principle 3: Shelving, equipment and containers used for storing records are secure, accessible and protected from deterioration			
		YES	NO
3.1	Shelving and handling equipment is clean, in good condition and appropriate to the format and security requirements of the records.		
3.2	Containers are clean, in good condition, and appropriate for the format, retention and security requirements of the records they hold.		
3.3	Records storage facilities, shelving, equipment, and containers meet workplace health and safety requirements.		
Principle 4: A regular maintenance and monitoring program for records storage areas has been implemented.			
		YES	NO
4.1	Records storage areas and facilities are clean and maintained.		
4.2	Regular checks of records and containers in the storage facility to identify any signs of pest infestation, mould, or other deterioration.		
4.3	Mould or pest infestation is treated promptly and appropriately.		
4.4	Appropriate conservation action is undertaken as required but repairs to records do not damage the records further.		
Principle 5: Records are controlled in a system so that they can be identified, located and retrieved.			
		YES	NO
5.1	Records are controlled in a system which allows them to be identified, located, retrieved, and returned to storage after		

	use.		
5.2	Procedures for the appropriate handling and use of records are defined and communicated to all users.		
5.3	Policies and procedures are implemented to ensure that records of long term value and archives are handled with care.		
5.4	If a public office chooses to convert or digitise records, then records are converted or digitised according to recognised standards.		
Principle 6: Records are protected against theft, misuse, unauthorised access or modification.			
		YES	NO
6.1	Storage areas and facilities are access controlled, restricted to authorised staff, intruder resistant, and monitored.		
6.2	Security classified records are stored in appropriate containers and storage zones within the storage area.		
6.3	Records in transit are protected.		