

Implementing the Standard on the physical storage of State records

This document is designed to assist public offices understand the requirements of the *Standard on the physical storage of State records*.

There are two parts in this document:

Part 1: Understanding the requirements of the *Standard on the physical storage of State records*

Part 2: Transitioning from the 2012 standard to the new standard

The *Standard on the physical storage of State records* (Standard No. 13) was issued to public offices on 15 February 2019. With the issue of Standard No. 13, the older storage standard was revoked and is no longer in use. Older standards are available at www.opengov.nsw.gov.au.

Purpose of the standard

The purpose of the *Standard on the physical storage of State records* 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.

What does the standard cover?

The Standard covers **semi-active records** in the control of the public office which have a physical format, for example:

- 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.

The 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. 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.

*Please note: **Active records are not covered by the standard.*** Increasingly NSW Government is creating records in digital format, not paper. NSW Government policy (see <https://www.digital.nsw.gov.au/>) which is transforming how NSW Government conducts business and, that by default, records will be in a digital format. Any NSW Government organisation, creating paper records at this point in time, should establish business rules for the creation, management and storage of 'active records'.

Retention periods and environmental conditions

The standard provides greater clarity on matching up records to appropriate storage environmental conditions. This will ensure that short and medium term temporary records are stored in conditions appropriate to their retention periods (15-27°C, 30-60%RH), while long term temporary records (to be retained for more than 30 years) or State archives are placed in the best possible conditions (16-25°C, 30-60%RH)*.

Matching records up with appropriate storage environmental conditions, will also assist public offices achieve greater efficiencies and savings in records storage.

The standard identified categories semi-active records in four categories, depending the retention period of the record:

- **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**.

*RH = Relative Humidity

Part 1: Understanding the requirements of the new standard

This part of the Guide is designed to assist public offices understand the requirements of the *Standard on the physical storage of State records*.

Following is a table for each principle which lists the minimum compliance requirements, a brief explanation for each requirement, and key guidance for implementing the requirements.

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

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.

Minimum compliance requirements	Explanation	Key guidance for implementing this requirement
<p>1 The location of each records storage area and facility has been subject to risk assessment to identify and mitigate possible risks to records.</p>	<p>The physical integrity of records will be affected by exposure to risks such as fire, flood, earthquake, and hazards.</p> <p>This requirement establishes the importance of undertaking risk assessments for each records storage area and facility in order to identify risks and dangers to records, and to identify the strategies to mitigate risks and hazards.</p> <p>Any risks identified in the assessment process will need to be identified and managed in the organisation's risk register and business continuity plan.</p>	<p>AS ISO 15489.1: 2017, <i>Information and documentation – Records management, Part 1: Concepts and principles</i>, see <i>Section 6 Policies and responsibilities and Section 9.6 Storing records</i></p> <p>AS ISO 31000:2018, <i>Risk management – Guidelines</i></p> <p>AS/NZS 1015:2011, <i>Records management – Physical storage</i></p> <p>See Location of records storage areas and facilities in <i>Solutions for storage</i></p>

<p>2 The Senior Responsible Officer or appropriate agency representative has approved all records storage areas and facilities.</p>	<p>This requirement provides the Senior Responsible Officer (SRO) with the authority to control where the organisation stores its records, identify and eliminate unauthorised storage areas, and to develop whole-of-organisation or whole-of-cluster strategies for the storage of records, which are cost effective and improve the quality of the storage areas/facilities used by the organisation or cluster.</p> <p>The SRO needs to ensure that all records storage areas and facilities in use, including arrangements with commercial storage providers, have been inspected to ensure that they are appropriate for the storage of records.</p> <p>Large organisations may need to deploy a team or network approach to identify, inspect and monitor all storage areas and facilities. It would be appropriate to create an inventory or register of all storage areas and facilities in use and record when inspected/monitored. This may even be an extension of the information asset register</p> <p>By identifying and maintaining visibility of records storage areas and facilities, the organisation can better protect records held in these locations.</p>	<p><i>AS ISO 15489.1: 2017, Information and documentation – Records management, Part 1: Concepts and principles, see Section 6 Policies and responsibilities and Section 9.6 Storing records</i></p> <p>See Location of records storage areas and facilities in <i>Solutions for storage</i></p> <p>Role of the senior responsible officer (online module)</p> <p>Framework for records and information management in NSW (online module)</p> <p>Checklist for the Senior Responsible Officer for records and information management</p>
<p>3 The storage facilities have been assessed as being suitable for the storage of records.</p>	<p>A public office's records should only be stored in facilities which have been assessed as being suitable for the storage of records storage.</p> <p>Records storage facilities chosen:</p> <ul style="list-style-type: none"> • have minimal risks to the integrity of records • are 'fit for purpose' • have measures and safeguards to protect 	<p><i>AS ISO 15489.1: 2017, Information and documentation – Records management, Part 1: Concepts and principles, see Section 6 Policies and responsibilities</i></p> <p>See Location of records storage areas and facilities in <i>Solutions for storage</i></p>

	<p>the records from fire and water influx</p> <ul style="list-style-type: none"> • have sufficient floor loadings to support the storage of records and equipment. 	
4 Records storage facilities built since 2011 are compliant with the Building Code of Australia and associated codes at the time of construction.	All records storage facilities need to be constructed in accordance with the building codes in operation at the time of construction. This ensures that the building is fit for purpose, has relevant fire-resistance levels and has been certified for occupancy.	See Location of records storage areas and facilities in <i>Solutions for storage</i>
5 Storage areas and facilities are weatherproof and have good drainage.	<p>Water is a critical risk to paper-based records and this requirement is based on protecting records from water and water influx into records storage areas or facilities.</p> <p>All paper-based records, whether short or long term retention, should be housed in weatherproof buildings, with good drainage which will protect the records from water damage.</p> <p>Records should not be stored in attics or basements as these are the first areas of a building to suffer from water influx.</p> <p>Buildings need to have good drainage and guttering should be adequate for purpose and checked regularly to ensure that there is no deterioration.</p> <p>Storage areas and facilities should be checked after any storm events or wet weather to ensure that there is no water influx or damage.</p>	See Location of records storage areas and facilities in <i>Solutions for storage</i>
6 Storage areas and facilities are dedicated to either records or records/library materials storage.	Creating a dedicated space for the storage of records ensures that additional risks to records are avoided (e.g. storing chemicals in the same storage area as records would raise the level of risk) and the organisation can restrict access	<p>AS/NZS 1015:2011, <i>Records management - Physical storage</i>, see clause 2.3.2</p> <p>See Location of records storage areas and facilities in <i>Solutions for storage</i></p>

	<p>more rigorously.</p> <p>Storage conditions for library materials are similar to storage conditions for paper-based records.</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>Fire is a critical risk to paper-based records and this requirement is based on protecting records from fire. All records (and the staff working in storage areas) should be protected from fire.</p> <p>All storage areas and facilities should have appropriate and comprehensive fire detection and protection systems and equipment. These should be compliant with the Building Code of Australia and Australian Standards for heat/smoke detection, fire alarms, and fire suppressant systems.</p> <p>Walls in storage areas should be constructed from fire-resistant materials.</p>	<p>See Location of records storage areas and facilities in <i>Solutions for storage</i></p> <p>AS 1603.3:2018, <i>Automatic fire detection and alarm systems, Part 3: Heat alarms</i></p> <p>AS 2444: 2001, <i>Portable fire extinguishers and fire blankets – Selection and location</i></p> <p>AS 1851-2012, <i>Routine service of fire protection systems and equipment</i></p>
<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>This requirement is designed to ensure that organisations are prepared and able to respond to a disaster affecting a records storage area or storage facility.</p> <p>Critical to any response is a counter disaster reaction and recovery plan which has been tested and practiced. The counter disaster plan should be linked to the organisation’s business continuity plan.</p> <p>In addition to the counter disaster reaction and recovery plan, the Senior Responsible Officer for records management (SRO) should be identified in policy and procedures as the appropriate officer to formally advise NSW State Archives and Records if damage or loss occurs to records as a result of a disaster. This official notification should be made as soon as practically possible</p>	<p>AS/NZS 5050: Business continuity: Managing disruption-related risk</p> <p>AS ISO 22313:2017, <i>Societal security - Business continuity management systems – Guidance</i></p> <p>See Location of records storage areas and facilities in <i>Solutions for storage</i></p> <p>Counter Disaster Strategies for records and recordkeeping systems</p> <p>Conservation Tip No. 6: Dealing with wet records</p> <p>Appendix B Contents of a model disaster response plan for records in AS/NZS 1015:2011, <i>Records management - Physical storage</i></p>

	after the event has occurred.	
9 Insurance for the recovery and restoration of records in the event of a disaster.	<p>If records are affected by a disaster event, it is likely that the records will need to be removed from the facility and restored elsewhere by a disaster recovery specialist.</p> <p>A public office should ensure that it has adequate funds and resources through insurance coverage to enable the recovery and restoration of records affected by a disaster.</p> <p>Each public office should confirm with their insurer that they have adequate insurance coverage.</p>	<p>Counter Disaster Strategies for records and recordkeeping systems</p> <p>Recovery checklist</p> <p>See Location of records storage areas and facilities in <i>Solutions for storage</i></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.

Minimum compliance requirements	Explanation	Key guidance for implementing this 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>This requirement ensures that records are stored in appropriate environmental conditions for the retention period of the record.</p> <p>Short term records, i.e. records that are only to be retained for 10 years or less, should be stored in good environmental conditions with stable temperature and humidity until the records are authorised for destruction. <i>Fluctuations in temperature and humidity will cause deterioration.</i></p> <p><i>Please note:</i> storage conditions for short term records are not as exacting as conditions for medium or longer term retention.</p> <p>Public offices should be pragmatic and focus efforts on the best possible environmental conditions for long term records and those identified as State archives.</p> <p><i>Records such as photographic media, magnetic</i></p>	<p>See Table A in the Standard on physical storage of State records</p> <p>See Environmental conditions in <i>Solutions for storage</i></p> <p>Retention and disposal authorities</p> <p>Implementing a retention and disposal authority</p>

	<p><i>media, optical media and mixed media items, should be stored separate to paper-based records and require more rigorous temperature and humidity controls.</i></p>	
<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>This requirement ensures that records are stored in appropriate environmental conditions for the retention period of the record.</p> <p>Medium term records, i.e. records that are only to be retained for 10 to 30 years, should be stored in good environmental conditions with stable temperature and humidity until the records are authorised for destruction. Stable environmental conditions will ensure that the records are preserved until the records are no longer required. <i>Fluctuations in temperature and humidity will cause deterioration.</i></p> <p>While these storage conditions are not as exacting as conditions for longer term or records identified as State archives, efforts should be made to ensure that appropriate temperature and humidity ranges are maintained.</p> <p>Public offices should be pragmatic and focus efforts on the best possible environmental conditions for long term records and those identified as State archives.</p> <p><i>Records such as photographic media, magnetic media, optical media and mixed media items, should be stored separate to paper-based records and require more rigorous temperature and humidity controls.</i></p>	<p>See Table A in the Standard on the physical storage of State records</p> <p>See Environmental conditions in <i>Solutions for storage</i></p> <p>Retention and disposal authorities</p> <p>Implementing a retention and disposal authority</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>This requirement ensures that records are stored in appropriate environmental conditions for the retention period of the record.</p> <p>Long term records, i.e. records that are to be retained for more than 30 years, should be stored</p>	<p>Table B in the Standard on the physical storage of State records</p> <p>See Environmental conditions in <i>Solutions for storage</i></p>

	<p>in the best environmental conditions possible with stable temperature and humidity. Stable environmental conditions will ensure that the records are preserved until the records are no longer required. <i>Fluctuations in temperature and humidity will cause deterioration.</i></p> <p>Storage conditions for longer term records or records identified as State archives are exacting and all efforts should be made to ensure that appropriate temperature and humidity ranges are maintained.</p> <p>Long term records and records required to be transferred as State archives, must be stored according to the conditions in Table B in the <i>Standard on the physical storage of State records.</i></p> <p><i>Records such as photographic media, magnetic media, optical media and mixed media items, should be stored separate to paper-based records and require more rigorous temperature and humidity controls.</i></p>	<p>Retention and disposal authorities</p> <p>Implementing a retention and disposal authority</p> <p>Transferring custody of records as State archives</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>When fluctuations of temperature and humidity occur, moisture is absorbed into records and then released quickly which causes deterioration to occur.</p> <p>This requirement is designed to ensure that records storage areas and facilities are monitored, and if there are fluctuations to temperature and humidity, that these are addressed through mitigation strategies.</p> <p>Stable temperature and humidity can be achieved without reliance on air conditioning.</p> <p>Stability can be achieved through building design and construction, insulation from external climates, minimising light (and heat) into the storage areas, choosing suitable locations for storage areas within</p>	<p>See Environmental conditions in <i>Solutions for storage</i></p> <p>ISO 11799:2015, <i>Information and documentation -- Document storage requirements for archive and library materials</i>, section 4.2 <i>Indoor climate</i></p>

	buildings and facilities, and using portable humidifiers and ceiling fans to regulate humidity and ventilation.	
5. Records are stored away from direct light, including sunlight.	<p>All forms of light can damage records. Reducing exposure to direct sunlight and light in storage areas will minimise damage to records.</p> <p>This requirement is designed to ensure that records storage areas and facilities are protected from light and heat generated from sunlight or overhead lighting.</p> <p>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.</p> <p>Records should be stored in boxes or containers to assist in reducing their exposure to light.</p>	<p>See Environmental conditions in <i>Solutions for storage</i></p> <p>ISO 11799:2015, <i>Information and documentation -- Document storage requirements for archive and library materials</i>, section 5.5 <i>Illumination</i></p>
6. The air in records storage areas circulates freely and there is an intake of fresh air.	<p>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.</p> <p>If air does not circulate naturally, then a ventilation system must be used, such as ceiling fans or air-conditioning.</p>	<p>See Environmental conditions in <i>Solutions for storage</i></p> <p>ISO 11799:2015, <i>Information and documentation -- Document storage requirements for archive and library materials</i>, section 5.5.3 <i>Ventilation and air quality</i></p>
7. Magnetic media is protected from magnetic fields.	<p>This requirement is designed to ensure that magnetic media, a <i>high sensitivity format</i> is protected in storage.</p> <p>Magnetic fields can distort the data contained in some record formats, such as analogue disks and tapes.</p> <p>Magnetic media should be stored on non-magnetisable shelving and stored in non-magnetisable sealed containers, cassette cases or</p>	<p>See Environmental conditions in <i>Solutions for storage</i></p> <p>See <i>Housing/Shelving and Containers/Packaging</i> in Table A and Table B in <i>Standard on the physical storage of State records</i></p>

	sleeves.	
<p>8. Records storage areas and facilities have an integrated pest management system.</p>	<p>Records, particularly paper-based records, are an attractive food source for a range of insects, rodents and other vermin.</p> <p>Integrated pest management is a range of preventative measures, perimeter spraying, and appropriate pest treatments to control pests. There should be integrated pest management in place for all storage areas and facilities.</p> <p>Storage areas and facilities should be regularly monitored for rats, mice, silverfish, and cockroaches.</p>	<p>See Environmental conditions in <i>Solutions for storage</i></p> <p>National Archives of Australia, Integrated Pest Management</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.

Minimum compliance requirements	Explanation	Key guidance for implementing this 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>Using appropriate shelving and handling equipment ensure that records are accessible, secure and protected.</p> <p>Shelving and handling equipment must be appropriate to the format of the record, clean, constructed from powder-coated metal, in a good state of repair, and strong enough to support the weight of the records.</p> <p>The security requirements of the records, such as protecting security classified records or records with sensitive information, should also be considered when selecting shelving.</p>	<p>See Shelving and packaging in <i>Solutions for storage</i></p> <p>See <i>Housing/Shelving and Containers/Packaging</i> in Table A and Table B in <i>Standard on physical storage of State records</i></p> <p>See Section 2.3 in AS/NZS 1015:2011, Records management - Physical storage</p> <p>NSW Government security requirements for the identification, storage and handling of information</p> <p>Australian Government Protective Security Policy Framework, see particularly <i>Part 15 Physical security for entity resources</i></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>Containers for records play a vital role in protecting records from deterioration (e.g. slowing down the rate of temperature and humidity changes), light, dust, pollutants, and unauthorised access. Containers include wrappings, envelopes, boxes or other enclosures.</p> <p>Containers should be:</p> <ul style="list-style-type: none"> appropriate for the record format and retention 	<p>See Shelving and packaging in <i>Solutions for storage</i></p> <p>See <i>Housing/Shelving and Containers/Packaging</i> in Table A and Table B in <i>Standard on physical storage of State records</i></p> <p>See Section 2.3 in AS/NZS 1015:2011, Records management - Physical storage</p> <p>Conservation Tip 02: Storing large</p>

	<ul style="list-style-type: none"> • appropriate for the weight and size of the record • appropriate for the record' 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. <p>The security requirements of the records, such as protecting security classified records or records with sensitive information, should also be considered when selecting containers.</p>	<p>documents, maps and plans</p> <p>NSW Government security requirements for the identification, storage and handling of information</p> <p>Australian Government Protective Security Policy Framework, see particularly <i>Part 15 Physical security for entity resources</i></p>
<p>3. Records storage facilities, shelving, equipment, and containers meet workplace health and safety requirements.</p>	<p>All records storage areas, facilities, shelving, containers and equipment must comply with workplace health and safety requirements. This includes:</p> <ul style="list-style-type: none"> • undertaking safe work practice assessments developing safe work practices • training staff to correctly operate shelving and equipment • training staff in correct manual handling techniques • ensuring that containers are the correct size and weight, and • supplying Personal Protective Equipment (PPE). <p>Risk assessments should be undertaken of records areas and facilities to identify any risks to health and safety, and to mitigate these risks.</p>	<p>See Shelving and packaging in <i>Solutions for storage</i></p> <p>See Section 2.3 in AS/NZS 1015:2011, <i>Records management - Physical storage</i></p> <p>SafeWork NSW</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.

Minimum compliance requirements	Explanation	Key guidance for implementing this requirement
<p>1. Records storage areas and facilities are clean and maintained.</p>	<p>Records storage areas and facilities need to be regularly cleaned and maintained so that they continue to provide stable and suitable conditions for the storage of records.</p> <p>Buildings, storage areas and shelving should be cleaned on a regular basis. Storage areas should be cleaned regularly with a vacuum cleaner fitted with a HEPA filter (high efficiency particulate air filter) to remove dust particles.</p> <p>The building, equipment and services should be regularly inspected and any issues addressed. Inspections should check:</p> <ul style="list-style-type: none"> • 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 (check for rats, mice, silverfish, and cockroaches) • building surrounds and fabric • physical security of buildings, storage areas, and security zones within storage 	<p>See Maintenance in <i>Solutions for storage</i></p>

	<p>areas</p> <ul style="list-style-type: none"> • electrical equipment and pipes, and shelving, to ensure that they are safe and in good condition • cleanliness of storage areas • fire detection mechanisms such as alarms, smoke detectors, sprinkler systems and extinguishers to ensure they are working correctly, and • other identified risks that need to be managed. <p>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.</p>	
<p>2. Regular checks of records and containers in the storage facility to identify any signs of pest infestation, mould, or other deterioration.</p>	<p>Regular inspections or checks should be made of the records held in the storage area or facility. This is one of the critical methods for detecting change in the conditions and issues of deterioration that need to be addressed.</p> <p>Check for:</p> <ul style="list-style-type: none"> • infestation by insects or vermin e.g. rats, mice, silverfish, and cockroaches • mould • dust • corrosion • damage, such as rips and tears, or • any other forms of deterioration. <p>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</p>	<p>See Maintenance in <i>Solutions for storage</i> Conservation Tip 05: Removing mould from records and archives</p>

	<p>area / facility to identify environmental issues which may be occurring in 'pockets' of the storage area / facility.</p> <p>It is very important that boxes, containers etc. are opened and the physical condition of the contents, i.e. records, are checked. This is the only way to check what might be occurring in the box, e.g. mould or pest infestations.</p>	
<p>3. Mould or pest infestation is treated promptly and appropriately.</p>	<p>Mould or pest infestation can cause serious damage or destruction of records. Infestations must be responded to promptly and appropriately.</p> <p>Mould infestation</p> <p>Mould is a type of fungus, which can spread quickly through storage areas and facilities, and will destroy the records that are infected. Mould will grow in a storage area once the humidity is above 60% RH. Humidity must be kept below 60%RH, fluctuations in humidity minimised, and good ventilation in storage areas to prevent mould.</p> <p>Signs of mould:</p> <ul style="list-style-type: none"> • brown marks • furry stains • dusty substances • mildew-like growth on paper, or • white fluff. <p>If you find mould on records, you will need to QUICKLY determine the extent of the problem and determine if it is possible to isolate affected records from the rest of the records in the storage area. <i>Please note:</i> health and safety issues with dealing with mould. Personal</p>	<p>See Maintenance in <i>Solutions for storage</i></p> <p>Conservation Tip 05: Removing mould from records and archives</p> <p>Contact NSW State Archives and Records, Senior Conservator on 02 9673 1788 or govrec@records.nsw.gov.au</p>

	<p>Protective Equipment (PPE) including dust masks, plastic gloves and eye goggles should be worn when working with mouldy records.</p> <p>Pest infestation</p> <p>If you find evidence of pest activity such as silverfish, termites, cockroaches, rats or mice, you will need to identify:</p> <ul style="list-style-type: none"> • source of the problem and severity of the activity • check if records have been affected by pests (have records have been eaten or are there eggs or faecal matter?) • are affected records short/medium term, long term or State archives? <p><i>Please note:</i> health and safety issues with records infested by insects/insect eggs/faecal matter. Personal Protective Equipment (PPE) including masks with a P1 or P2 filter, plastic gloves, apron and eye goggles should be worn when handling pest infested records.</p> <p>If mould or pest infestation is identified, NSW State Archives and Records must be notified and the problem treated promptly. Repairs to records should be undertaken where necessary and in consultation with NSW State Archives and Records.</p>	
<p>4. Appropriate conservation action is undertaken as required but repairs to records do not damage the records further.</p>	<p>Repairs to records should be undertaken where necessary and only if they are not likely to damage the records further.</p> <p>Repairs to records should only be carried out under the supervision of a Conservator and in consultation with NSW State Archives and Records.</p>	<p>See Maintenance in <i>Solutions for storage</i></p> <p>Conservation Tip 05: Removing mould from records and archives</p> <p>Conservation Treatments</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.

Minimum compliance requirements	Explanation	Key guidance for implementing this 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>All records need to be registered and controlled in a system which allows the records to be identified and linked to a physical location in a storage area or facility. This information assists the organisation in identifying and retrieving records easily, and identifying where records should be returned to after use.</p> <p>Standards for documentation and location control should be implemented. Each records storage area should have a system of location control that includes:</p> <ul style="list-style-type: none"> • each container has a unique identifier and is labelled • all shelving and other storage equipment (e.g. plan cabinets) have a unique identifier and is labelled • shelf location of all boxes of records should be identified in the recordkeeping system and on consignment documentation for the transfer of records to storage • a separate location index (what records [container number] are stored in which location [shelf/bay number] in the storage area) should be maintained, and • all location documentation should be kept 	<p>See Identification and control in <i>Solutions for storage</i></p> <p>See Section 3 in AS/NZS 1015:2011, Records management - Physical storage</p>

	<p>up to date.</p> <p>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.</p>	
<p>2. Procedures for the appropriate handling and use of records are defined and communicated to all users.</p>	<p>Records will be damaged 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, deterioration, or dissociation.</p> <p>All staff and users should be trained in the correct handling and use of records to minimise damage and ensure their preservation for as long as they are required.</p>	<p>See Identification and control in <i>Solutions for storage</i></p> <p>Moving and handling archives: the basics</p> <p>Handle with care</p> <p>See Section 2.3.6 in AS/NZS 1015:2011, Records management - Physical storage</p>
<p>3. Policies and procedures are implemented to ensure that records of long term value and archives are handled with care.</p>	<p>Records will be damaged 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, deterioration, or dissociation.</p> <p>Records of long term value, or those records identified as State archives, need to be handled with great care to ensure that they survive for as long as they are needed.</p> <p>All staff and users should be trained in the correct handling and use of records to minimise damage and ensure their preservation for as long as they are required.</p> <p>Organisational policy and procedures should include:</p> <ul style="list-style-type: none"> access and use of long term or archival value records must be in a designated 	<p>See Identification and control in <i>Solutions for storage</i></p> <p>Handle with care</p> <p>Moving and handling archives: the basics</p> <p>See Section 2.3.6 in AS/NZS 1015:2011, Records management - Physical storage</p>

	<p>areas and supervised by staff, and correct handling techniques enforced</p> <ul style="list-style-type: none"> • a copy is issued for reference purposes rather than the original • all users are advised on the correct handling of long term records and archives, and • all users must provide written agreement to the handling and preservation requirements for long term and archival value records. 	
<p>4. If a public office chooses to convert or digitise records, then records are converted or digitised according to recognised standards.</p>	<p>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.</p> <p>When digitising or converting long term temporary records or State archives, public offices must ensure that the processes undertaken do not damage the original records:</p> <ul style="list-style-type: none"> • records are handled carefully in the conversion process (e.g. if volumes are to be scanned, the original should not be damaged by poor handling or pressure exerted on the spine) • records are transported carefully to and from service providers undertaking the conversion work, and • not damaged in the conversion process or returned to storage in the incorrect order, as this may create problems and compromise their ability to function as evidence, especially for records of high risk or high value that are being retained after digitisation 	<p>See Identification and control in <i>Solutions for storage</i></p> <p>General retention and disposal authority: Original or source records that have been copied (GA 45)</p>

	<p>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).</p> <p>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.</p>	
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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](#).

Minimum compliance requirements	Explanation	Key guidance for implementing this requirement
<p>1. Storage areas and facilities are access controlled, restricted to authorised staff, intruder resistant, and monitored.</p>	<p>Records and information in storage areas and facilities must be protected from unauthorised access or misuse.</p> <p>Access to buildings and storage areas must be controlled in order to prevent unauthorised access, which may result in the alteration, destruction, damage or theft of records.</p> <p>Only authorised staff should have access to the records storage areas within buildings or to locked storage equipment or secure storage zones.</p> <p>Entry to storage areas should be controlled through electronic access systems, locks or other access controls. These access controls should be monitored and audited.</p> <p>The retrieval and return of material should only be undertaken by staff members who are authorised to be in the storage areas.</p> <p>All staff and contractors working in storage areas/facilities used by the public office and including commercial storage facilities, should be aware of their responsibilities regarding security and have appropriate security clearances.</p>	<p>See Security in <i>Solutions for storage</i></p> <p>NSW Government security requirements for the identification, storage and handling of information</p> <p>Australian Government Protective Security Policy Framework, see particularly <i>Part 15 Physical security for entity resources and Part 16 Entity Facilities</i></p>

<p>2. Security classified records are stored in appropriate containers and storage zones within the storage area.</p>	<p>Security classified records require additional security or protection. These types of records must be handled, protected and stored appropriately. The NSW Government requirements and the Australian Government Protective Security Policy Framework should be implemented.</p> <p>Security classified or sensitive information should be stored in separate areas or zones segregated from the main records storage. This segregation of records allows for added protections and risk mitigation to be implemented.</p> <p>Only authorised staff with appropriate security clearances should have access to secure storage zones.</p>	<p>See Security in <i>Solutions for storage NSW Government security requirements for the identification, storage and handling of information</i></p> <p>Australian Government Protective Security Policy Framework, see particularly <i>Part 15 Physical security for entity resources and Part 16 Entity facilities</i></p>
<p>3. Records in transit are protected.</p>	<p>Records being moved from one location to another should be protected from unauthorised access, misuse, or loss.</p> <p>Records should not be left unattended or unsecured in transit.</p> <p>Records with security classifications or containing sensitive information 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>See Security in <i>Solutions for storage NSW Government security requirements for the identification, storage and handling of information</i></p> <p>Australian Government Protective Security Policy Framework, see particularly <i>Part 15 Physical security for entity resources</i></p>

Part 2: Transitioning from 2012 standard to the new standard

Most of the minimum compliance requirements in the new standard are based on the minimum compliance requirements from the 2012 *Standard on physical storage of State records* (Standard No. 11). The superseded standard is available from www.opengov.nsw.gov.au.

While many of the requirements in the new standard are continuing requirements or build on existing requirements, please note that the requirements in the new *Standard on physical storage of State records* have often been refined or expressed differently. This means that while your organisation may be conforming to requirements in the superseded standard, you may need to review or revise some documentation in order to ensure that your organisation fully meets the new requirements.

These are the possible scenarios you need to consider in transitioning from the 2012 standard to the new standard:

If ...	Then ...
You already meet requirements in the 2012 Storage standard	You are likely to meet most requirements in the new standard. Remember to check existing documentation/evidence for each minimum compliance requirement to ensure that it adequately meets the new minimum compliance requirements.
You don't meet all the requirements in the superseded standard	You will need to make an assessment of which requirements in the new standard you do not meet, and implement these. Remember to check that current document documentation adequately meets requirements.
You don't know what requirements your organisation is meeting	You will need to make an assessment of your organisation to determine if it is meeting any requirements, and then make a strategy to implement the requirements of the standard.

Following is a mapping of requirements in superseded standard to the minimum compliance requirements in the new *Standard on the physical storage of State records*.

Requirements in 2012 standard (now superseded)	Minimum compliance requirements in new standard
<p>1.1 The Nominated Senior Officer or appropriate agency representative has authorised all records storage areas and facilities.</p>	<p>Minimum compliance requirement 1.2</p> <p>The Senior Responsible Officer or appropriate agency representative has approved all records storage areas and facilities.</p>
<p>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.</p>	<p>While this requirement has not been brought across to the new standard in this form of wording, requirements to assess storage as suitable for the storage of records is covered by minimum compliance requirement 1.3</p> <p>The storage facilities have been assessed as being suitable for the storage of records.</p>
<p>1.3 Storage areas and facilities are regularly inspected and assessed for compliance.</p>	<p>While this requirement has not been brought across to the new standard in this form of wording, requirements to assess and inspect storage areas and facilities for conformity with requirements is covered by minimum compliance requirements 1.3, 2.4, 2.8, 3.1, 4.1, and 6.1</p> <p>1.3: The storage facilities have been assessed as being suitable for the storage of records.</p> <p>2.4: Temperature and humidity levels within storage areas and facilities are monitored for stability and action taken to minimise any significant fluctuations.</p> <p>2.8: Records storage areas and facilities have an integrated pest management system.</p> <p>3.1: Shelving and handling equipment is clean, in good condition and appropriate to the format and security requirements of the records.</p> <p>4.1: Records storage areas and facilities are clean and maintained.</p> <p>6.1: Storage areas and facilities are access controlled, restricted to authorised staff, intruder resistant, and monitored.</p>
<p>2.1 The location of each records storage area and facility has been</p>	<p>Minimum compliance requirement 1.1</p>

subject to risk assessment to identify and mitigate possible risks to records.	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.	Minimum compliance requirement 1.3 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.	Minimum compliance requirement 1.4 Records storage facilities built since 2011 are 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.	Minimum compliance requirement 1.5 Storage areas and facilities are weatherproof and have good drainage.
2.5 Storage areas and facilities are dedicated to either records or records / library storage.	Minimum compliance requirement 1.6 Storage areas and facilities are dedicated to either records or records/library materials 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	Minimum compliance requirement 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. NEW minimum compliance requirement 1.9 Insurance for the recovery and restoration of records in the event of 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.	Minimum compliance requirement 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.

<p>3.1 Records of short term value are stored in conditions which ensure preservation until they are no longer required.</p>	<p>Minimum compliance requirements 2.1 and 2.2</p> <p>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.</p> <p>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.</p>
<p>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%.</p>	<p>Minimum compliance requirement 2.3</p> <p>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>3.3 Records of archival value are transferred to archival storage once they are no longer active.</p>	<p>While this requirement has not been brought across to the new standard in this form of wording, requirements to identify and store records of archival value in appropriate storage conditions are covered in minimum compliance requirement 2.3</p> <p>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>3.4 Temperature and humidity levels within storage areas and facilities are monitored for stability and action taken to minimise any significant fluctuations.</p>	<p>Minimum compliance requirement 2.4</p> <p>Temperature and humidity levels within storage areas and facilities are monitored for stability and action taken to minimise any significant fluctuations.</p>
<p>3.5 Records are stored away from direct light, including sunlight.</p>	<p>Minimum compliance requirement 2.5</p> <p>Records are stored away from direct light, including sunlight.</p>
<p>3.6 The air in records storage areas circulates freely and there is an intake of fresh air.</p>	<p>Minimum compliance requirement 2.6</p> <p>The air in records storage areas circulates freely and there is an intake of fresh air.</p>
<p>3.7 Magnetic media is protected from magnetic fields.</p>	<p>Minimum compliance requirement 2.7</p>

	Magnetic media is protected from magnetic fields.
3.8 Records storage areas and facilities have an integrated pest management system.	Minimum compliance requirement 2.8 Records storage areas and facilities have an integrated pest management system.
4.1 Shelving and handling equipment is clean, in good condition and appropriate to the format and retention period of the records.	Minimum compliance requirement 3.1 Shelving and handling equipment is clean, in good condition and appropriate to the format and security requirements 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.	Minimum compliance requirement 3.2 Containers are clean, in good condition, and appropriate for the format, retention and security requirements of the records they hold.
4.3 Records storage facilities, shelving, equipment, and containers meet workplace health and safety requirements.	Minimum compliance requirement 3.3 Records storage facilities, shelving, equipment, and containers meet workplace health and safety requirements.
5.1 Records storage areas and facilities are maintained as part of the organisation's building maintenance program.	Minimum compliance requirement 4.1 Records storage areas and facilities are clean and maintained.
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.	Minimum compliance requirement 4.2 Regular checks of records and containers in the storage facility to identify any signs of pest infestation, mould, or other deterioration.
5.3 Mould or pest infestation is treated promptly and appropriately.	Minimum compliance requirement 4.3 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.	Minimum compliance requirement 4.4 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	Minimum compliance requirement 5.1

storage after use.	Records are controlled in a system which allows them to be identified, located, retrieved, and returned to storage after use.
6.2 Procedures for the appropriate handling and use of records are defined and communicated to all users.	Minimum compliance requirement 5.2 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.	While this requirement has not been brought across to the new standard in this form of wording, the requirement to have procedures for the safe transport of records is included in minimum compliance requirement 5.2, 5.3 and 6.3 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. 6.3: Records in transit are protected.
6.4 Policies and procedures are implemented to ensure that records of long term value and archives are handled with care.	Minimum compliance requirement 5.3 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.	Minimum compliance requirement 5.4 If a public office chooses to convert or digitise records, then records are converted or digitised according to recognised standards.
7.1 Storage areas and facilities are intruder resistant and access controlled.	Minimum compliance requirement 6.1 Storage areas and facilities are access controlled, restricted to authorised staff, intruder resistant, and monitored.
7.2 Records which are identified as critical, sensitive or containing in-confidence material, are appropriately protected.	Minimum compliance requirements 6.2 and 6.3 6.2: Security classified records are stored in appropriate containers and storage zones within the storage area. 6.3: Records in transit are protected.

