

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.		