

## Appendix A – Consolidated list of compliance requirements

| <b>Principle 1: Records are stored in appropriate storage areas and facilities and located away from known and unacceptable risk.</b> |  |            |           |
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|   |  | <b>YES</b> | <b>NO</b> |
| 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.  |            |           |
| <b>Principle 2: Records are stored in environmental conditions appropriate to their format and retention period.</b>                  |  |            |           |
|   |  | <b>YES</b> | <b>NO</b> |
| 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  |            |           |

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|   | 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.  |            |           |
| <b>Principle 3: Shelving, equipment and containers used for storing records are secure, accessible and protected from deterioration</b> |  |            |           |
|   |  | <b>YES</b> | <b>NO</b> |
| 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.   |            |           |
| <b>Principle 4: A regular maintenance and monitoring program for records storage areas has been implemented.</b>                        |  |            |           |
|   |  | <b>YES</b> | <b>NO</b> |
| 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.  |            |           |
| <b>Principle 5: Records are controlled in a system so that they can be identified, located and retrieved.</b>                           |  |            |           |
|   |  | <b>YES</b> | <b>NO</b> |
| 5.1   | Records are controlled in a system which allows them to be identified, located, retrieved, and returned to storage after                                   |            |           |

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|   | 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. |            |           |
| <b>Principle 6: Records are protected against theft, misuse, unauthorised access or modification.</b> |   |            |           |
|   |   | <b>YES</b> | <b>NO</b> |
| 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.   |            |           |