

State Records Guidelines No 23

Certification for Places of Deposit of State archives

Issued: August 2013

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Information Security Classification

This document has been security classified using the Tasmanian Government Information Security classification standard as PUBLIC and will be managed according to the requirements of the Tasmanian Government Information Security Policy.

Document Development History

Build Status

Version	Date	Author	Reason	Sections
1.0	August 2013	David Bloomfield	Initial Release	All

Amendments in this Release

Section Title	Section Number	Amendment Summary
		This is the first release of this document.

1. Introduction

There are two ways in which State archives can be managed over time:

- The Tasmanian Archive and Heritage Office (TAHO) can take custody of the records, or
- A government agency may gain certification with TAHO as a place of deposit (POD)

Under this second model, State records still become State archives when ‘control’ passes to TAHO. However, unlike ‘standard’ transfer arrangements, this does not involve the records coming into the custody of TAHO. Instead, the records are kept in the custody of a government agency.

Before this option can be exercised, the agency MUST be certified with TAHO as a POD.

1.1 Purpose

The purpose of this Guideline is to detail the requirements that MUST be met by an agency for certification as a Place of Deposit (POD) for State archives.

1.2 Authority

This guideline is issued under the provisions of Section 10A of the Archives Act 1983. Guidelines issued by the State Archivist under this Section set standards, policy, and procedures relating to the making and keeping of State records. This section also requires all relevant authorities to take all reasonable steps to comply with these guidelines, and put them into effect.

Keyword	Interpretation
MUST	The item is mandatory.
MUST NOT	Non-use of the item is mandatory.
SHOULD	Valid reasons to deviate from the item may exist in particular circumstances, but the full implications need to be considered before choosing this course.
SHOULD NOT	Valid reasons to implement the item may exist in particular circumstances, but the full implications need to be considered before choosing this course.
RECOMMENDS RECOMMENDED	The item is encouraged or suggested.

‘MUST’ and ‘MUST NOT’ statements are highlighted in capitals throughout the Guideline. Agencies deviating from these MUST advise TAHO of the decision to waive particular requirements.

Agencies deviating from a ‘SHOULD’ or ‘SHOULD NOT’ statement MUST record:

- the reasons for the deviation,
- an assessment of the residual risk resulting from the deviation,
- the date at which the decision will be reviewed, and
- whether the deviation has management approval.

Agencies deviating from a RECOMMENDS or RECOMMENDED requirement are encouraged to document the reasons for doing so.

2. Certification

In practical terms, the main purpose of certifying a POD is to ensure that State archives that remain outside the custody of TAHO are:

- stored securely
- preserved in sound condition

- documented adequately, and
- made accessible to the public

These records **MUST** be managed in accordance with standard principles of archives management, and the provisions of the Archives Act and associated guidelines issued by the State Archivist.

3. Key requirements for certifying a POD

An agency wishing to become a POD needs to satisfy TAHO that they will be able to meet the relevant requirements set out in this Guideline. These requirements have been developed to ensure that the records are managed according to the same standards as if they were in TAHO's custody. An agency that is considering seeking certification as a POD needs to determine whether it can meet these requirements.

Certification as a POD can cover a wide variety of situations, from a small quantity of records to a larger series of records. They may cover paper records only, 'mixed' formats, or only electronic records.

The following key requirements are included as a separate Checklist to this Guideline to be used by the agency (see pp. 15-22)

3.1 Authorisation

<i>Principle: all state archives <u>MUST</u> be stored in conditions that are authorised by the State Archivist</i>	<i>Examples of Evidence</i>
3.1.1 Storage areas and facilities which store state archives MUST be certified as being compliant by the State Archivist, and any conditions or limitations noted in the certification.	<ul style="list-style-type: none"> • TAHO certification issued by the State Archivist of the agency as a POD (Place of Deposit). Conditions may include certification for hard copy records only or for digital records only.

3.2 Inspection

<i>Principle: areas and facilities used for the storage of state archives <u>MUST</u> be regularly inspected for compliance.</i>	<i>Examples of Evidence</i>
3.2.1 Storage areas and facilities MUST be inspected and assessed annually for compliance with this Guideline by a TAHO representative.	<ul style="list-style-type: none"> • Current POD certification. • Confirmation on the TAHO website that the agency has current POD certification.

3.3 Location & Construction

<p>Principle: State archives <u>MUST</u> be stored in areas which are located away from known and unacceptable risk.</p>	<p>Examples of Evidence</p>
<p>3.3.1 The location of each storage area or facility <u>MUST</u> be subjected to a risk assessment to identify and mitigate possible risks to the preservation of and access to the state archives stored there, and the results have demonstrated that the level of risk is low.</p>	<ul style="list-style-type: none"> Internal risk assessment reports which identify and evaluate risks to record storage areas and facilities and how they will be mitigated.
<p>3.3.2 Storage facilities <u>MUST</u> be assessed as being compliant with the Building Code of Australia and associated codes.</p>	<ul style="list-style-type: none"> Certificates of occupancy or internal risk assessment reports which demonstrates that the facility meets Building Code requirements, including relevant fire-resistance levels.
<p>3.3.3 Storage areas for hardcopy records <u>MUST</u> be protected from fire, water influx, and have an integrated pest management system in place.</p>	<ul style="list-style-type: none"> Storage plan detailing design measures and safeguards implemented in hardcopy record storage areas and facilities to protect records from fire, water influx (from above, below or through walls or openings) and vermin. Internal risk assessment reports which detail risk mitigation strategies for hardcopy record storage areas and facilities.
<p>3.3.4 Storage areas for digital storage media <u>MUST</u> be protected from fire, dust, vermin and water influx.</p>	<ul style="list-style-type: none"> Storage plan detailing design measures and safeguards implemented in digital storage areas and facilities to protect records from fire, dust, water influx (from above, below or through walls or openings) and vermin. Internal risk assessment reports which detail risk mitigation strategies for digital record storage areas and facilities.

Location & Construction (contd)	Examples of Evidence
<p>3.3.5 Storage areas and facilities for magnetic storage media MUST be protected from magnetic fields, including (but not limited to) high intensity electromagnetic fields (e.g. high voltage power lines), lightning conductor systems, electric generators and motors and electrical wiring.</p>	<ul style="list-style-type: none"> Internal risk assessment reports which detail how magnetic storage media has been protected from the effects of magnetic fields.
<p>3.3.6 Storage areas and facilities MUST NOT be used to store anything that could harm the records (such as chemicals or flammable liquids).</p>	<ul style="list-style-type: none"> Internal risk assessment reports which confirm that equipment or substances which pose a risk to records were not present in record storage areas and facilities.
<p>3.3.7 Storage areas and facilities MUST be designed to minimise the impact of sunlight and UV light on records.</p>	<ul style="list-style-type: none"> Internal risk assessment reports which detail how the impact of sunlight and UV light on records has been minimised.
<p>3.3.8 Storage areas and facilities MUST have sufficient floor loading capacity to safely support the maximum volume of records, their containers and any furnishings or equipment.</p>	<ul style="list-style-type: none"> Certificates of occupancy specifying floor loading capacity. Structural engineer's report confirming storage areas and facilities have sufficient floor loading capacity to support records and equipment when at full capacity.

3.4 Preservation & Safety

Principle: State archives MUST be stored in conditions that ensure their preservation, and the safety of the people handling the records.	Examples of Evidence
<p>3.4.1 Storage conditions MUST be assessed to ensure they are appropriate to preserve State archives.</p>	<ul style="list-style-type: none"> Assessment reports which identify appropriate storage conditions for records in storage areas and facilities.

Preservation & Safety (contd)	Examples of Evidence
<p>3.4.2 Technology used for the storage of digital records MUST be chosen to ensure the records (and their contextual metadata) are preserved and accessible.</p>	<ul style="list-style-type: none"> • Storage plan which includes migration strategies for digital records. • ICT strategy which includes plans to manage avoidance of vendor or technology lock in, and technological obsolescence. • Assessment reports which identify appropriate storage technology for digital records.
<p>3.4.3 Temperature and humidity levels within storage facilities MUST be appropriate for the format of the records stored, and are maintained in accordance with the relevant International Standard (see Appendix for list of relevant ISO standards).</p>	<ul style="list-style-type: none"> • Assessment reports which identify appropriate storage conditions for records in storage facilities. • Hydrothermographic logs which demonstrate temperature and humidity levels in storage facilities have been maintained within appropriate ranges.
<p>3.4.4 Temperature and humidity levels within storage areas MUST be monitored for stability, and action taken to minimise any significant fluctuations.</p>	<ul style="list-style-type: none"> • Hydrothermographic logs which demonstrate temperature and humidity levels in storage areas have been maintained within appropriate ranges. • Inspection logs which demonstrate monitoring of temperature and humidity levels in storage areas.
<p>3.4.5 State digital, photographic or other sensitive media types being transferred to or from cool or cold storage areas MUST be acclimatised in accordance with the relevant International Standard before being introduced to a new temperature zone (see Appendix for list of relevant ISO standards)</p>	<ul style="list-style-type: none"> • Storage plan which includes the use of acclimatisation zones outside cold storage areas (typically used for digital and photographic media). • Record retrieval and returns procedures which require the use of acclimatisation zones for cold storage.

Preservation & Safety (contd)	Examples of Evidence
<p>3.4.6 Shelving and handling equipment <u>MUST</u> be appropriate for the format of the records. Wooden shelving <u>SHOULD</u> be avoided as it can release harmful vapours, can contribute to the spread of fire and may harbour insects.</p>	<ul style="list-style-type: none"> • Assessment reports which identify appropriate storage and handling equipment for records. • Inspection logs which demonstrate that shelving and handling equipment are being used appropriately.
<p>3.4.7 Individual shelves <u>MUST</u> be able to safely support the maximum volume of records and their containers. Boxes <u>SHOULD NOT</u> be stacked more than four high and <u>SHOULD</u> be stacked in a staggered formation, like brickwork, to avoid caving in boxes on the bottom row.</p>	<ul style="list-style-type: none"> • Assessment reports which identify appropriate shelving for records.
<p>3.4.8 Containers used to store records <u>MUST</u> be clean, in good condition, and appropriate to record weight, size and format to assist with the preservation of the records they contain.</p>	<ul style="list-style-type: none"> • Record storage procedures which cover the selection and appropriate use of containers.
<p>3.4.9 Acid free or archival quality containers <u>MUST</u> be used to store records</p>	<ul style="list-style-type: none"> • Assessment reports which identify record conservation needs. • Record storage procedures which cover the selection and appropriate use of containers. • Inspection logs which demonstrate that appropriate containers are being used.
<p>3.4.10 Staff members responsible for handling records within storage areas and facilities <u>SHOULD</u> have received training in safe manual handling practices to minimise injury.</p>	<ul style="list-style-type: none"> • Training program which covers safe manual handling practices. • Staff training records which demonstrate that all relevant staff have received training in safe manual handling practices.

Preservation & Safety (contd)	Examples of Evidence
<p>3.4.11 Staff members responsible for handling records within storage areas and facilities SHOULD have received training in identifying records with potential conservation or preservation risks.</p>	<ul style="list-style-type: none"> • Training program which covers record conservation and preservation practices. • Staff training records which demonstrate that all relevant staff have received training in record conservation and preservation practices annually.
<p>3.4.12 Record storage areas and facilities MUST be designed, maintained and used in accordance with the requirements of the Work Health and Safety Act 2012.</p>	<ul style="list-style-type: none"> • Occupational health and safety reports and procedures.

3.5 Access & Control

<p>Principle: State archives <u>MUST</u> be stored using systems that enable the records to be readily accessible to the public.</p>	Examples of Evidence
<p>3.5.1 Systems for the physical control of state archives within storage areas and facilities SHOULD be implemented to track the locations and movements of records.</p>	<ul style="list-style-type: none"> • Clauses in contracts and service level agreements that require the movement and location of records to be tracked. • System manuals which detail the physical control of records.
<p>3.5.2 Appropriate arrangements MUST be in place for public access to state archives.</p>	<ul style="list-style-type: none"> • All State archives MUST be assigned an access code as per TAHO's Application to Dispose of State Records (AOT48) http://www.linc.tas.gov.au/global/govtreCORDKEEPING/services/forms • Details of access directions MUST be available to the public through the agency, and forwarded to TAHO by the agency when they complete the relevant section in TAHO's Application to Dispose of State Records (AOT48) • Technology dependent records MUST be accessible in line with the obligation placed on the agency as a certified POD.

Access & Control (contd)	Examples of Evidence
<p>3.5.3 Procedures for retrieval, handling and returning of records within storage areas or facilities SHOULD be developed and communicated to those authorised to access the records.</p>	<ul style="list-style-type: none"> Records management procedures for the retrieval, handling and returning of records in storage.

3.6 Security

Principle: State archives <u>MUST</u> be protected from theft, misuse and inappropriate or unauthorised access or modification, whilst they are being stored, in a public access area, or in transit.	Examples of Evidence
<p>3.6.1 Access to storage and public access areas and facilities MUST be controlled and any security breaches reported to relevant authorities.</p>	<ul style="list-style-type: none"> Plan which includes details of storage and public access areas monitoring and reporting (e.g. sensors on external doors including roller doors; motion detection; monitored alarm systems; controlled building access; and security cameras). Access logs which record all authorised entry to storage or public access areas. Incident reports regarding any unauthorised access to storage or public access areas.
<p>3.6.2 State archives in transit to or from storage areas, public access areas or while in public access areas MUST be secured from unauthorised access and destruction (includes transmission via physical and technological means).</p>	<ul style="list-style-type: none"> Procedures which detail how to keep records secure during transit and while in public access areas.

3.7 Maintenance

<p>Principle: A maintenance program, including regular inspection, review and monitoring, <u>MUST</u> be in place for all areas and facilities that store State archives.</p>	<p>Examples of Evidence</p>
<p>3.7.1 An ongoing maintenance program <u>MUST</u> be implemented to identify, assess and mitigate risks to the security and preservation of State archives in storage areas and facilities.</p>	<ul style="list-style-type: none"> • Maintenance program for storage areas and facilities which details activities to be undertaken to mitigate risks to the security and preservation of state archives (e.g. clearing gutters, upgrading hardware and software). • Risk register which includes entries regarding risks to storage areas and facilities.
<p>3.7.2 Storage areas and facilities (including shelving and handling equipment) <u>MUST</u> be kept clean and in good working order.</p>	<ul style="list-style-type: none"> • Storage plan which includes a program of regular cleaning and maintenance. • Inspection logs which demonstrate that shelving and handling equipment have been regularly checked and maintained.
<p>3.7.3 Storage areas and facilities <u>SHOULD</u> be inspected at least every six months for signs of deterioration of the building, conditions and equipment (including shelving, hardware and software), and corrective and preventative works are undertaken.</p>	<ul style="list-style-type: none"> • Maintenance program which includes regular monitoring of storage areas and facilities for signs of deterioration. • Inspection logs which demonstrate that storage areas and facilities have been monitored for signs of deterioration. • Maintenance status reports which detail corrective and preventative works undertaken on storage areas and facilities. • Pest management and fire servicing logs which demonstrate that checks have been performed.

Maintenance (contd)	Examples of Evidence
<p>3.7.4 Software on online or near-line computer systems used to store digital records SHOULD be supported and maintained by people with the appropriate skills and competencies.</p>	<ul style="list-style-type: none"> Records management or Information & Communications Technology (ICT) policy which requires computer systems to be supported and maintained. Service level agreements or maintenance and support contracts for computer systems which are current.

3.8 Disaster Prevention & Recovery

Principle: An up-to-date disaster preparedness, management and recovery program <u>MUST</u> be in place for all areas and facilities that store state archives.	Examples of Evidence
<p>3.8.1 A disaster preparedness, management and recovery program for records within storage areas and storage facilities MUST be developed, implemented, and tested and assessed annually.</p>	<ul style="list-style-type: none"> Disaster preparedness, management and recovery plan which defines responsibilities and includes contact details of specialist disaster recovery companies. Procedures regarding the update of risk logs, mitigation strategies, and the disaster management plan as part of the recovery process. Reports outlining the results of test exercises, drills or simulated disasters.
<p>3.8.2 Records in storage areas or facilities and in transit SHOULD have been insured for recovery and restoration in the event of a disaster.</p>	<ul style="list-style-type: none"> Disaster management plan includes agency insurance policy details, insurance coverage for record recovery and restoration activities and claims procedures. Copies of agency or courier certificates of insurance.
<p>3.8.3 Fire detection and extinguishing equipment MUST be installed and maintained in all storage areas and facilities in accordance with relevant Australian standards by a qualified contractor.</p>	<ul style="list-style-type: none"> Fire safety logs or inspection reports showing that smoke detectors meet requirements of AS 1670 and fire extinguishers, hose reels and hydrants meet the requirements of Part E of the Building Code of Australia.

Disaster Prevention & Recovery (contd)	Examples of Evidence
<p>3.8.4 Digital records MUST be provided with adequate protection from disasters or be duplicated and stored in two physically distinct sites.</p>	<ul style="list-style-type: none"> • Records management, ICT or risk management strategies which include strategies for the protection of digital records. • Disaster preparedness, management and recovery plan which includes measures for the protection of digital records.
<p>3.8.5 Equipment, supplies and information required to assist with the recovery of records after a disaster MUST be set aside in designated areas within or near storage areas and facilities.</p>	<ul style="list-style-type: none"> • Disaster preparedness, management and recovery plan which details required recovery supplies and their location. • Contact lists for disaster recovery organisations. • Disaster bin content lists and inspection checklists.
<p>3.8.6 Staff members responsible for the recovery of records following a disaster SHOULD have received training in carrying out their allocated responsibilities.</p>	<ul style="list-style-type: none"> • Disaster preparedness, management and recovery plan which includes staff training activities. • Reports regarding disaster training exercises. • Staff training records which demonstrate that all relevant staff have recently received training in disaster recovery activities.

4. Renewal of POD certification

An agency's POD certification will indicate the period for which it is current. Prior to its expiry the agency **MUST** arrange a meeting with an officer from TAHO and the agency's own relevant officer(s). This meeting will include an inspection of the agency's storage facility for State archives.

5. Negotiating a POD certification

There are many issues to be addressed if an agency wishes to become a certified POD. Further information and assistance may be obtained by contacting us at:

Government Recordkeeping - Tasmanian Archive and Heritage Office
91 Murray Street
Hobart 7000
Email GRK@education.tas.gov.au
Phone 6165 5581

Appendix - Certification Checklist

Any documents required to satisfy the following checklist may be viewed during the physical inspection of the facility. Requirements identified correspond to those listed in the section 'Requirements to gain certification' (pp3-11)

I.) Facility Details

Item to be demonstrated	Requirement	Checked OK	Comment
Facility MUST be compliant with the Building Code of Australia (including fire resistance levels).	<ul style="list-style-type: none"> • Certificates of occupancy or internal risk assessment reports which demonstrates that the facility meets Building Code requirements, including relevant fire-resistance levels. 	<input type="checkbox"/>	
Floor loading capacity MUST be sufficient for purpose.	<ul style="list-style-type: none"> • Certificates of occupancy specifying floor loading capacity. • Structural engineer's report confirming storage areas and facilities have sufficient floor loading capacity to support records and equipment when at full capacity. 	<input type="checkbox"/>	
Shelving and handling equipment MUST be appropriate for purpose.	<ul style="list-style-type: none"> • Assessment reports which identify appropriate storage and handling equipment for records. • Inspection logs which demonstrate that shelving and handling equipment are being used appropriately. • Assessment reports which identify appropriate shelving for records. 	<input type="checkbox"/>	

II.) Risk management

Risks resulting from physical location, mitigation actions, and remaining risk level MUST be identified.	<ul style="list-style-type: none"> • Internal risk assessment reports which identify and evaluate risks to record storage areas and facilities and how they will be mitigated. 	<input type="checkbox"/>	
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Item to be demonstrated	Requirement	Checked OK	Comment
Risks to hardcopy records (fire, water, pests), mitigation actions, and remaining risk level <u>MUST</u> be identified.	<ul style="list-style-type: none"> Storage plan detailing design measures and safeguards implemented in hardcopy record storage areas and facilities to protect records from fire, water influx (from above, below or through walls or openings) and vermin. Internal risk assessment reports which identify and evaluate risks to record storage areas and facilities and how they will be mitigated. 	<input type="checkbox"/>	
Risks to digital storage media (fire, dust, vermin, water), mitigation actions, and remaining risk level <u>MUST</u> be identified.	<ul style="list-style-type: none"> Storage plan detailing design measures and safeguards implemented in digital storage areas and facilities to protect records from fire, dust, water influx (from above, below or through walls or openings) and vermin. Internal risk assessment reports which detail risk mitigation strategies for digital record storage areas and facilities. 	<input type="checkbox"/>	
risks to magnetic media (electric and magnetic fields), mitigation actions, and remaining risk level <u>MUST</u> be identified.	<ul style="list-style-type: none"> Internal risk assessment reports which detail how magnetic storage media has been protected from the effects of magnetic fields. 	<input type="checkbox"/>	
Risks resulting from co-located substances, mitigation actions, and remaining risk level <u>MUST</u> be identified.	<ul style="list-style-type: none"> Internal risk assessment reports which confirm that equipment or substances which pose a risk to records were not present in record storage areas and facilities. 	<input type="checkbox"/>	
Risks resulting from UV radiation, mitigation actions, remaining risk level <u>MUST</u> be identified.	<ul style="list-style-type: none"> Internal risk assessment reports which detail how the impact of sunlight and UV light on records has been minimised. 	<input type="checkbox"/>	

III.) Disaster and incident management

Item to be demonstrated	Requirement	Checked OK	Comment
<p>Procedure to manage any security breach <u>MUST</u> be documented.</p>	<ul style="list-style-type: none"> • Storage plan which includes details of storage area and facility access monitoring and reporting (e.g. sensors on external doors including roller doors; motion detection; monitored alarm systems; controlled building access; and security cameras). • Access logs which record all authorised entry to storage areas and facilities. • Incident reports regarding any unauthorised access to storage areas and facilities. 	<input type="checkbox"/>	
<p>Disaster management plan, any test exercise results, and insurance details <u>MUST</u> be documented.</p>	<ul style="list-style-type: none"> • Disaster preparedness, management and recovery plan which defines responsibilities and includes contact details of specialist disaster recovery companies. • Procedures regarding the update of risk logs, mitigation strategies, and the disaster management plan as part of the recovery process. • Reports outlining the results of test exercises, drills or simulated disasters. 	<input type="checkbox"/>	
<p>Records <u>SHOULD</u> have insurance cover including for those in transit</p>	<ul style="list-style-type: none"> • Disaster management plan includes agency insurance policy details, insurance coverage for record recovery and restoration activities and claims procedures. • Copies of agency or courier certificates of insurance. 	<input type="checkbox"/>	

Item to be demonstrated	Requirement	Checked OK	Comment
Location of any record recovery information, supplies, or equipment MUST be documented.	<ul style="list-style-type: none"> • Disaster preparedness, management and recovery plan which details required recovery supplies and their location. • Contact lists for disaster recovery organisations. • Disaster bin content lists and inspection checklists. 	<input type="checkbox"/>	
Disaster recovery training or exercises SHOULD be documented.	<ul style="list-style-type: none"> • Disaster preparedness, management and recovery plan which includes staff training activities. • Reports regarding disaster training exercises. • Staff training records which demonstrate that all relevant staff have recently received training in disaster recovery activities. 	<input type="checkbox"/>	
Fire safety equipment documentation MUST show compliance with Australian standards.	<ul style="list-style-type: none"> • Fire safety logs or inspection reports showing that smoke detectors meet requirements of AS 1670 and fire extinguishers, hose reels and hydrants meet the requirements of Part E of the Building Code of Australia. 	<input type="checkbox"/>	

IV.) Environment and access controls

Item to be demonstrated	Requirement	Checked OK	Comment
Temperate and humidity conditions MUST be maintained appropriate to the records' format and media.	<ul style="list-style-type: none"> Assessment reports which identify appropriate storage conditions for records in storage facilities. Hydrothermographic logs which demonstrate temperature and humidity levels in storage areas have been maintained within appropriate ranges. Inspection logs which demonstrate monitoring of temperature and humidity levels in storage areas. 	<input type="checkbox"/>	
Appropriate acclimatisation procedure MUST be in place for records being transferred between temperature zones.	<ul style="list-style-type: none"> Storage plan which includes the use of acclimatisation zones outside cold storage areas (typically used for digital and photographic media). Record retrieval and returns procedures which require the use of acclimatisation zones for cold storage. 	<input type="checkbox"/>	

V.) Operations

Secure and reliable systems SHOULD be managed and maintained for the physical or intellectual control of records.	<ul style="list-style-type: none"> Clauses in contracts and service level agreements that require the movement and location of records to be tracked. System manuals which detail the physical control of records. 	<input type="checkbox"/>	
Procedures for the retrieval, handling, and return of records to storage SHOULD be documented and communicated	<ul style="list-style-type: none"> Records management procedures for the retrieval, handling and returning of records in storage. 	<input type="checkbox"/>	

Item to be demonstrated	Requirement	Checked OK	Comment
<p>Physical and online access to storage areas and facilities MUST be monitored, tracked, and controlled to prevent unauthorised access, alteration, or destruction of records</p>	<ul style="list-style-type: none"> • Storage plans and assessment reports which include details of security measures implemented to protect record storage areas and facilities (e.g. sensors on external doors including roller doors; motion detection; monitored alarm systems; controlled building access; and security cameras). • ICT security and access control model which includes details of network and computer security controls to protect digital records from viruses and unauthorised access. • Inspection logs which demonstrate that security measures are working correctly. • Access logs which record all authorised entry to storage areas and facilities. • Incident reports regarding any unauthorised access to storage areas and facilities. 	<input type="checkbox"/>	
<p>Media used to store digital records and associated metadata MUST be appropriate for the records being stored.</p>	<ul style="list-style-type: none"> • Storage plan which includes migration strategies for digital records. • ICT strategy which includes plans to manage avoidance of vendor or technology lock in, and technological obsolescence. • Assessment reports which identify appropriate storage technology for digital records. 	<input type="checkbox"/>	

Item to be demonstrated	Requirement	Checked OK	Comment
<p>Maintenance programs SHOULD be in place to ensure that facilities continue to minimise risks to records, and ensure facilities remain compliant with the certification received.</p>	<ul style="list-style-type: none"> • Maintenance program for storage areas and facilities which details activities to be undertaken to mitigate risks to the security and preservation of state archives (e.g. clearing gutters, upgrading hardware and software). • Risk register which includes entries regarding risks to storage areas and facilities. • Storage plan which includes a program of regular cleaning and maintenance. • Inspection logs which demonstrate that shelving and handling equipment have been regularly checked and maintained. 	<input type="checkbox"/>	
<p>A maintenance program MUST be in place for the fire detection and extinguishing equipment.</p>	<ul style="list-style-type: none"> • Fire safety logs or inspection reports showing that smoke detectors meet requirements of AS 1670 and fire extinguishers, hose reels and hydrants meet the requirements of Part E of the Building Code of Australia 	<input type="checkbox"/>	

VI.) Attested items

These requirements may be satisfied by a statement signed by a senior authorised officer of the secondary storage facility.

<p>Staff SHOULD be aware of procedures to identify and minimise risks to records.</p>	<ul style="list-style-type: none"> • Training program which covers record conservation and preservation practices. • Staff training records which demonstrate that all relevant staff have received training in record conservation and preservation practices annually. 	<input type="checkbox"/>	
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Item to be demonstrated	Requirement	Checked OK	Comment
Records in transit to or from storage areas, public access areas or while in public access MUST be kept secure from unauthorised access, alteration, or destruction.	<ul style="list-style-type: none"> Procedures which detail how to keep records secure during transit and while in public access areas. 	<input type="checkbox"/>	

VII.) Inspected items

In addition to the items below a number of documented items will be checked at the facility to confirm that the requirements are being met.

Safety hazards SHOULD have been identified and are being managed; and safety, first aid, and protective equipment are readily available.	<ul style="list-style-type: none"> Occupational health and safety reports and procedures. 	<input type="checkbox"/>	
Appropriate storage containers for record weight, size, format, and preservation requirements MUST be used.	<ul style="list-style-type: none"> Record storage procedures which cover the selection and appropriate use of containers. Assessment reports which identify record conservation needs. Record storage procedures which cover the selection and appropriate use of containers. Inspection logs which demonstrate that appropriate containers are being used. 	<input type="checkbox"/>	

Acknowledgements

Public Records Office Victoria, *Guideline 4: Places of Deposit (POD) for State Archives (PROV PROS 11/01)*
<http://prov.vic.gov.au/wp-content/uploads/2011/09/1101g4.pdf>

State Records NSW, *Recordkeeping In Brief 13 - Distributed management of State archives*
<http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/recordkeeping-in-brief/recordkeeping-in-brief-13>