



Onsite Storage of Temporary Value Records

Introduction

This recordkeeping advice sheet provides information regarding the onsite management and storage of temporary value records by state government agencies (agencies) and local government authorities (authorities).

Records of temporary value

Temporary value records are those records that do not have permanent (archival) value and may be destroyed when a prescribed retention period has elapsed, as outlined in a disposal schedule determined by State Records and approved by the State Records Council. The format of a record (eg tape, disk, paper, digital) does not dictate its permanency.

Storage of temporary value records

To assist agencies and authorities with the storage, retrieval and destruction of temporary value records, State Records has established an Across-Government Approved Service Providers List (ASPL). Approved Service Providers (ASP) on the ASPL have been through an evaluation process and demonstrated they meet requirements set by State Records. Agencies and authorities can arrange to store temporary value records with any of the ASPs without seeking further approval from State Records.

Agencies and authorities are encouraged to make use of the ASPL and the associated benefits and potential cost savings that it offers.

In some instances, an agency or authority may wish to store temporary value records onsite rather than use an ASP. This advice sheet sets out what agencies and authorities should do if temporary value records are to be stored onsite. Onsite storage does not relate to records stored in office accommodation.

Agencies and authorities require the approval of State Records to store temporary records in an onsite facility. The process for seeking approval is outlined in Steps 1 to 3 of this advice sheet.

In following this advice sheet both agencies and authorities can be confident that they are meeting their requirement under the *State Records Act 1997* (section 13) to maintain their official records in good order and condition.

Principles for onsite storage of temporary value records

The effective management and storage of temporary value records is supported by four key principles:

- Principle 1 – records are sentenced prior to storage

- Principle 2 – records need to be sufficiently identified and described
- Principle 3 – environmental conditions are adequate for the storage of the records
- Principle 4 – physical protection of the records is appropriate.

Principle 1 - Records are sentenced prior to storage

Agencies need to ensure that records are sentenced in accordance with a current disposal schedule determined by State Records and approved by the State Records Council. Sentencing of records will determine whether a record is of temporary or permanent value and will assist in determining where they should be stored. To do this, agencies are required to have an appropriate understanding of disposal and sentencing methods. Agencies gain efficiency in disposal and sentencing by employing staff that have undertaken State Records disposal training to complete sentencing projects. It is important that staff also have an understanding of which disposal schedules apply to their official records. It is recommended that an agency maintain a register of current and approved disposal schedules applicable to its records.

Temporary value records need to be retained for the duration specified in the disposal schedule as a minimum and agencies are required to seek approval to destroy temporary records from State Records before doing so. For State Records to approve such destruction of temporary value records, an Intention to Destroy Records Report (www.archives.sa.gov.au) needs to be forwarded to State Records detailing the disposal authority that the records have been sentenced against.

Principle 2 - Records need to be sufficiently identified and described

To ensure that records can be accessed, retrieved and disposed of, temporary value records need to be sufficiently identified and described. Control systems, such as document or records management software, also need to be established to ensure that records can be easily identified, located, retrieved and disposed of.

The identification of records enables an agency to assist the public to access temporary value records stored on agency premises. In providing access to these records, agencies need to take into consideration agency specific and government legislative requirements, including the *Freedom of Information 1991*, *State Records Act 1997*, *Evidence Act 1929* and, for State Government agencies only, in accordance with the *Information Privacy Principles*.

Principle 3 - Environmental conditions are adequate for the storage of the records

Agencies need to ensure that environmental conditions, including temperature, relative humidity, air quality and lighting are adequate for the onsite storage of temporary value records. The type of storage facility will be dependant on record format and their physical and chemical properties, their required retention periods and accessibility requirements.

State Records has developed a checklist of storage requirements for agencies (refer to Attachment 1 – Storage and handling requirements checklist and application) wishing to

store temporary value records onsite. This checklist largely applies to paper-based records of temporary value that have limited administrative use. Therefore they do not require high quality facilities that records of permanent value require. However, they do require sufficient and adequate facilities to ensure the proper storage and care of records for as long as they are required. Agencies may need to utilise specific storage facilities depending on the types of records being stored.

Regular monitoring of the storage facilities should be conducted to measure temperature, relative humidity and air quality, the most critical environmental components of a storage program.

Principle 4 – Physical protection of the records is appropriate

Agencies need to ensure that temporary value records stored onsite are appropriately protected by implementing appropriate:

- storage methods
- equipment and handling procedures
- disaster response plans, and
- security measures.

To ensure the preservation of records, measures need be taken to ensure correct handling, use and transport of records for as long as they are required. Storage boxes need to be maintained in good condition, designed to fit the records, sturdy to withstand handling, weight and pressure of the records and of a quality and composition compatible to the records format, media and use (refer to Attachment 1 – Storage and handling requirements checklist and application).

Storage facilities and the records within may be at risk of various disasters and as such disaster recovery plans need to be developed to prevent or minimise the loss of important records. Disaster recovery plans should include a register of vital records for isolation and immediate recovery should a disaster occur. These plans need to be reviewed and updated regularly.

Temporary value records need to be further protected to ensure they remain secure and confidential. This includes taking measures to control access to records storage areas and control systems and development of procedures surrounding the protection of confidential or personal information contained in files.

Agency responsibilities for onsite storage of temporary value records – Approval process

Where an agency intends to store temporary value records at an onsite facility, there are three steps to gaining approval, based on the principles described above.

Step 1

An agency first needs to ensure:

- the records are identified and described
- the records have been sentenced as temporary

- the facilities meet State Records storage and handling requirements (refer to Attachment 1), and
- the types of boxes and labels to be used are adequate (refer to Attachment 1).

Step 2

Agencies and authorities are required seek written approval from State Records to use its own storage facilities. Agencies and authorities are required to forward their completed *Storage and handling requirements checklist* to State Records. State Records will then assess, in liaison with the agency, if the above requirements have been met.

Step 3

If approval is granted, an agency will also need to provide written commitment to the following conditions:

- temporary value records stored at onsite facilities will be accessible as required by legislation (eg FOI)
- the disaster response plan for onsite storage facilities will be maintained and routinely reviewed (eg annually)
- a retrieval service for temporary value records stored onsite will be provided
- inspections, if required, of onsite facilities by State Records will be accommodated
- ad hoc reports on storage and related service provision to assist State Records in monitoring performance will be provided, and
- temporary value records will be destroyed appropriately once the retention periods have expired and business use ceased.

Approvals are given in writing by State Records and may be cancelled if an agency no longer meets the conditions or maintains its facility in accordance with the necessary requirements.

Further information

- State Records of South Australia, *Adequate Records Management – Meeting the Standard* (2008)
- State Records of South Australia, *ASPL User Guide for Agencies* (2009)
- State Records of South Australia, Recordkeeping Advice Sheet RK22 *Transferring temporary records to an Approved Service Provider (ASP)* (2009)
- State Records of South Australia, *Management and Storage of Temporary Value Records with an Approved Service Provider (ASP) Standard* (2009)
- State Records of South Australia, *Management and Storage of Temporary Value Records with an Approved Service Provider (ASP) Guideline* (2009)
- State Records of South Australia, Recordkeeping Advice Sheet RK12: *Adequate Records Management in Perspective – Disposal of Official Records* (2008)
- State Records of South Australia, *Appraisal of Official Records: Policy and Objectives* (2003)
- State Records of South Australia, Recordkeeping Advice Sheet RK8: *Adequate Records Management in Perspective – Storing Official Records* (2008)

- State Records of South Australia, Recordkeeping Advice Sheet RK16: *Adequate Records Management in Perspective – Disaster Management* (2008)
- State Records of South Australia, *Records Management Disaster Planning Guideline* (2007)
- State Records of South Australia, *Records Management Disaster Planning Toolkit* (2007)

Further contact

For further advice, or to seek written approval from State Records to use onsite facilities, an agency or authority should contact:

Records Management Services
GPO Box 2343
ADELAIDE SA 5001
Ph: (08) 8204 8773
Fax: (08) 8204 8777
Email: srsaRecordsManagement@sa.gov.au

Attachment 1 - Storage and handling requirements checklist and application

Agencies intending to store temporary value records at an onsite facility need to seek written approval from State Records.

Please forward completed application (below), checklist and accompanying letter (statement of commitment as outlined in Step 3) to State Records, attention Records Management Service.

Agency responsible for the records	
Agency name:	Postal address:
Agency contact officer details	
Full name:	Telephone no.:
	Fax no.:
Position:	Email address:
	DX no.:
Brief description of onsite storage facility	
Signature:	Date:

State Records to complete this section	
Name: _____	Position: _____
Signature: _____	Date: _____
Approval to store temporary records onsite: Yes / No	
Comments:	

Storage facility

- | | | | |
|---|---|------------------------------|-----------------------------|
| 1 | Is the facility of sturdy and intruder-resistant construction suitable for prevailing weather conditions? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2 | Is the floor capable of holding the weight of fully loaded shelving/racking/cabinets? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3 | Is the facility free of water leaks and dampness? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 4 | Is the storage area isolated from hazards such as electrical plants and exposed plumbing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 5 | Is the storage facility dedicated to records or records and library storage only? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

Internal environment of storage facility

- | | | | |
|----|--|------------------------------|-----------------------------|
| 6 | Is the facility well ventilated? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 7 | Is the facility well lit with a minimum of natural light? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 8 | Does the facility have a stable temperature (preferably inside the range 15-27 degrees C, with no more than 5 degrees C variation in any 24-hour period) and humidity (preferably 30-60%RH, with no more than 5%RH variation in any 24-hour period)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 9 | Is the facility clean and free of dirt and dust? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 10 | Is the facility free of insects and rodents? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

Official records containers

- | | | | |
|----|---|------------------------------|-----------------------------|
| 11 | Are official records packaged into containers prior to receipt into a storage facility? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 12 | Are containers clean and in good condition? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 13 | Are containers designed to fit the records? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 14 | Are the containers used strong enough to withstand handling, pressure and weight of the records? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 15 | Are the containers of a quality and composition commensurate with the record's format, media and use? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 16 | Are the shelving and equipment appropriate to the retention period of the records? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

- 17 Are the containers capable of being handled in a safe and easy manner? Yes No

Shelving/Cabinets/Racking

- 18 Are shelving/cabinets/racking raised off the floor as a disaster precaution (preferably by 85-150mm)? Yes No
- 19 Do shelving/cabinets/racking not restrict good ventilation in the storage area? Yes No
- 20 Does shelving/cabinets/racking enable ready and safe access to official records? Yes No
- 21 Are shelving/cabinets/racking constructed of good quality metal, properly sealed with minimal chance of rusting? Yes No

Handling equipment

- 22 Does any handling equipment used comply with occupational health, safety and welfare codes of best practice? Yes No

Security and confidentiality

- 23 Is the facility maintained 24-hours per day 7-days a week with a security system? Yes No
- 24 Have security and confidentiality risks been identified, mitigated and documented? Yes No
- 25 Are fire alarms installed and linked to a readily available emergency service? Yes No
- 26 Is fire-extinguishing equipment installed and tested on an annual basis? Yes No
- 27 Is there protection against unauthorised access to both the physical and information systems environment? Yes No
- 28 Is there controlled access to storage areas? Yes No
- 29 Are there measures for protection of confidentiality of personal information contained in “sensitive” files (eg records of legal proceedings, medical records)? Yes No
- 30 Are there measures for screening staff involved in providing services? Yes No
- 31 Is there a current and adequate disaster response plan, reviewed annually? Yes No