

Onsite Storage of Temporary Information Assets

Introduction

This information sheet sets the steps agencies need to follow if temporary value information assets are to be stored onsite, rather than with Approved Service Provider (ASP). Onsite storage does not relate to information assets stored in office accommodation.

Prior to storing information assets in an onsite facility, approval must be obtained from State Records.

The term 'information asset' should be taken to incorporate the definition of official record as defined by section 3(1) of the SR Act, and includes information, data and records, in any format (whether digital or hardcopy), where it is created or received through the conduct of government business.

The term 'temporary value information assets' refers to information assets 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 an information asset (eg tape, disk, paper, digital) does not dictate its permanency.

For more information about storing information assets with ASP, refer to the Management and Storage of Temporary Value Information Assets with an Approved Service Provider (ASP) Standard and associated information sheet.

Principles for onsite storage of temporary value information assets

The same principles that apply to the storage of information assets with an ASP apply when information assets are stored in an onsite facility:

1. Information assets are sentenced prior to secondary storage transfer
2. Information assets need to be sufficiently identified and described
3. Controlled environmental conditions are sufficient for the storage of the Information assets
4. Information assets are protected.

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Principle 1 - Records are sentenced prior to storage

Agencies need to ensure that information assets are sentenced in accordance with a current disposal schedule determined by State Records and approved by the State Records Council.

Sentencing of information assets will determine whether an information asset 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.

It is important that staff also understand which disposal schedules apply to their information assets. It is recommended that an agency maintain a register of current and approved disposal schedules applicable to its information assets.

Temporary value information assets need to be retained for the duration specified in the disposal schedule as a minimum.

Principle 2 – Information assets need to be sufficiently identified and described

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

The identification of information assets enables an agency to assist the public to access temporary value information assets stored on agency premises. In providing access to these information assets, 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 information assets

Agencies need to ensure that environmental conditions, including temperature, relative humidity, air quality and lighting are adequate for the onsite storage of temporary value information assets. The type of storage facility will be dependent on information asset 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 information assets onsite. This checklist largely applies to paper-based information assets of temporary value that have limited administrative use. Therefore, they do not require high quality facilities that information assets of permanent value require. However, they do require sufficient and adequate facilities to ensure the proper storage and care of information assets for as long as they are required. Agencies may need to utilise specific storage facilities depending on the types of information assets 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.

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Principle 4 – Physical protection of the records is appropriate

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

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

To ensure the preservation of information assets, measures need to be taken to ensure correct handling, use and transport of information assets for as long as they are required. Storage boxes need to be maintained in good condition, designed to fit the information assets, sturdy to withstand handling, weight and pressure of the information assets and of a quality and composition compatible to the information assets 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 incidents and disasters and as such incident recovery plans need to be developed to prevent or minimise the loss of important information assets. Incident recovery plans should include a register of vital information assets for isolation and immediate recovery should a incident occur. These plans need to be reviewed and updated regularly.

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

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Agency responsibilities for onsite storage of temporary value information assets – Approval process

Where an agency intends to store temporary value information assets 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 information assets are identified and described
- » the information assets 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 are required seek written approval from State Records to use its own storage facilities. Agencies 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 information assets stored at onsite facilities will be accessible as required by legislation (eg FOI)
- » the incident response plan for onsite storage facilities will be maintained and routinely reviewed (eg annually)
- » a retrieval service for temporary value information assets 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 information assets 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.

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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 contract officer details	
Full name:	Telephone no.:
	Fax no.:
Position:	Email address:
	DX no.:
Brief description of onsite storage facility	
Signature:	Date:

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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?	Yes	No
2	Is the floor capable of holding the weight of fully loaded shelving/racking/cabinets?	Yes	No
3	Is the facility free of water leaks and dampness?	Yes	No
4	Is the storage area isolated from hazards such as electrical plants and exposed plumbing?	Yes	No
5	Is the storage facility dedicated to records or records and library storage only?	Yes	No

Internal environment of storage facility

6	Is the facility well ventilated?	Yes	No
7	Is the facility well lit with a minimum of natural light?	Yes	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)?	Yes	No
9	Is the facility clean and free of dirt and dust?	Yes	No
10	Is the facility free of insects and rodents?	Yes	No

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Official records containers

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

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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

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