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State Records
of South Australia



Management and Storage of Temporary Value Records

With an Approved Service Provider (ASP)

Standard

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Introduction

State and local government agencies are responsible for managing temporary official records within the Adequate Records Management Framework (the Framework). The Framework, established by State Records in partnership with agencies, is part of an overall system for the custody and management of official records for the South Australian Government.

This Standard aims to ensure that official records of temporary value held within an Approved Service Provider (ASP) are:

- stored in a cost-effective and efficient manner
- secure and accessible for as long as they are required to meet business and accountability needs and community expectations
- stored in a manner that is considered adequate in accordance with section 13 of the *State Records Act 1997*.

Scope of this Standard

Under section 14(2) of the *State Records Act 1997*, this Standard is binding for administrative units of the public service and agencies or instrumentalities of the Crown.

Although other agencies, including local government authorities, are not bound by State Records standards, they are strongly encouraged to apply this standard to ensure adequate records management practices.

This Standard forms part of the suite of standards under the across-government framework. The framework provides a records management regime for State and Local Government agencies within South Australia.

This Standard sets out State Records' principles and standards governing the management and storage of South Australian official records of *temporary value* within an ASP. These records do not have enduring (or archival) value and may be destroyed at the end of a retention period, as defined in a disposal schedule approved by the State Records Council.

Should agencies wish to store records with an ASP that are yet to be sentenced in accordance with a disposal schedule, the agency must first seek written approval from State Records. Please refer to page 8 of this standard and page 10 of the *Management and Storage of Temporary Value Records with an Approved Service Provider (ASP) Guideline*.

This Standard covers all types of record formats (eg paper, tapes, disks) but excludes the storage of electronic records on networks or on hard drives, which require different storage options and will be covered in separate State Records' standards.

For options for storing temporary value records other than with an ASP, please contact State Records of South Australia.

This Standard is issued in accordance with sections 7(h) and 14 of the State Records Act.

Related documents

This Standard supports the *Adequate Records Management Standard 2008* and is supported by the *Management and Storage of Temporary Value Records with an Approved Service Provider (ASP) Guideline* and the *Management and Storage of Temporary Value Records with an Approved Service Provider – Approved Service Providers List (ASPL) User Guide*.

The guideline further defines and explains the benchmarks set out in this standard and the User Guide provides agencies with information about accessing the services of companies on the ASPL.

These documents are available from the State Records website – <http://www.archives.sa.gov.au>.

Variation to this Standard

State Records may update or alter this standard as authorised by the Director of State Records, in consultation with the State Records Council. All South Australian agencies will be informed of any such alterations or updates.

Further contact

This Standard requires that agencies seek certain approvals from State Records in relation to managing and storing temporary official records. Agencies and authorities that require further information relating to this Standard should contact the Manager, Records Management Services at:

State Records of South Australia
GPO Box 2343
ADELAIDE SA 5001
Phone: (08) 8204 8791
Fax: (08) 8204 8777
Email: srsaRecordsManagement@sa.gov.au

Policy statement

Agencies are responsible for the overall management and storage of temporary value official records within the framework described in this Standard.

Secondary storage with an ASP

Secondary storage with an ASP is for official records once they are no longer required for current administrative purposes and have been sentenced according to a disposal schedule determined by the Manager (Director of State Records) and approved by the State Records Council.

Agencies who wish to store official records at a location other than with an ASP must first contact State Records, as an exemption from State Records may be required. Such exemptions will only be granted on a case-by-case basis.

For further information on the exemption process please refer to the Guideline (pages 10 to 11) or contact Records Management Services at State Records srsaRecordsManagement@sa.gov.au.

Responsibilities

State Records, agencies, ASP's and contractors need to work collaboratively to achieve an effective and accountable storage regime for inactive temporary official records.

Agency responsibilities

Agencies are responsible for the overall management and storage of temporary value official records covered by this Standard.

When storing with an ASP, an agency needs to:

- ensure temporary official records are sufficiently identified and described
- ensure contractors are aware of their responsibilities when sentencing records
- provide access to such records as required by legislation
- obtain approval for destruction from the Director of State Records prior to actual destruction.
- ensure that purchasing processes comply with government and agency purchasing policies
- ensure that contractual arrangements with an ASP are consistent with the Deed between the Minister and the approved service provider
- ensure that services contracts with an ASP define agency-specific service levels, roles and expectations and do not conflict with the terms and conditions of the Deed
- assist State Records to monitor the performance of ASP's.

State Records' responsibilities

In fulfilling its role of setting and regulating standards, State Records is responsible for:

- establishing the ASPL under section 22 of the State Records Act
- approving private storage providers that meet defined performance standards as providers of temporary records management services to agencies
- granting agency exemption to use private storage providers not on the ASPL
- providing agencies with standards and guidelines for managing temporary official records
- providing associated training and advice for managing temporary official records
- monitoring agency performance with regard to temporary official records management
- approving destruction of temporary official records before actual disposal
- monitoring the performance of approved service providers.

Approved Service Providers' responsibilities

State Records publishes a list of approved service providers. The organisations on the ASPL have demonstrated the capability to provide storage, retrieval and destruction services for temporary value official records to the standards specified by State Records. They have entered into a Deed that sets out the terms and conditions under which they will provide these services. Some may also have been approved to provide additional services such as boxing and listing and sentencing of records.

An ASP is required to provide services on the terms and conditions contained in the Deed between the approved service providers and the Minister and in accordance with the provisions of the State Records Act.

An ASP is also required to provide services or meet agency-specific requirements in accordance with the terms and conditions of any contractual arrangements made with an agency within the framework of the Deed.

The Four Principles

The effective management of temporary value official records requires a focus on the following four principles and their benchmarks:

- records are sentenced prior to secondary storage transfer
- records need to be sufficiently identified and described
- controlled environmental conditions are sufficient for the storage of the records
- physical security of the records is sufficiently protected.

PRINCIPLE 1: Records are sentenced prior to transfer

Official records are deemed as temporary through the process of sentencing prior to any transfer to an ASP.

Explanation

Effective sentencing of official records is critical to good records management. Sentencing means assessing the value of records in terms of legally approved *disposal schedules*¹ and thus defining how long records need to be kept.

Most official records will be appraised as temporary and eventually destroyed at the expiration of an approved retention period.

Ideally, records should be sentenced at creation or, at the least, as soon as they are no longer of current administrative use. Unsentenced official records should be retained in agency custody until they are appraised and sentenced.

If an agency wishes to transfer unsentenced records to an ASP it needs to first seek written approval from State Records. Due to the risk, approval will only be given on a case-by-case basis.

State Records reserves the right to inspect an ASP's facilities to ensure no unauthorised records are being stored.

Benchmarks

- The agency needs to sentence in accordance with a current records disposal schedule(s) (general and/or operational) that has been approved by the State Records Council.
- The agency is required to have an appropriate understanding of disposal and sentencing.

¹ Section 23 of the *State Records Act 1997* stipulates that an agency cannot dispose of official records except in accordance with a determination made by the Manager [Director] of State Records with the approval of the State Records Council. A determination is submitted to Council as a disposal schedule.

- The agency, or an ASP on its behalf, cannot destroy records until written approval from State Records has been received.
- For sentenced official records:
 - the agency needs to retain lists of the records sentenced and disposal schedules that have been applied.
- For unsentenced official records:
 - where the agency wishes to transfer unsentenced records to an ASP, it is required to seek written approval from State Records, agree to sentence the records within a defined timeframe negotiated with State Records and comply with any other conditions required by State Records.
 - the agency is required to notify State Records, within the agreed timeframe, of the records being sentenced.

PRINCIPLE 2: Records are to be sufficiently identified and described

Official records of temporary value need to be sufficiently identified and described to enable easy accessibility, retrievability and disposal.

Explanation

Ensure that temporary official records stored with an ASP can be retrieved promptly and accurately for agency purposes, such as any current discovery process for legal proceedings, inquest, requests under the *Freedom of Information Act 1991*, or Government Inquiry or Commission.

State Records will monitor the storage of temporary official records, with the help of periodic agency or ASP reports.

Benchmarks

- The agency needs to ensure that access to temporary official records is appropriately managed.
- The agency needs to maintain a copy of all transfer documentation to ensure that official records can be easily located, retrieved and disposed of.

PRINCIPLE 3: Controlled environmental conditions are sufficient for the storage of records

Controlled environmental conditions, such as temperature, relative humidity, air quality and lighting need to be sufficient within an ASP for the storage of temporary value official records.

Explanation

Store official records of temporary value in a clean, secure and sturdy off-site facility that has a low risk of damage.

Ensure the storage area is well ventilated and has a minimum of natural light, and stable temperature and humidity.

Benchmarks

- For the storage of temporary value official records, storage requirements for an ASP as defined by State Records need to be adhered to by agencies and approved service providers.

PRINCIPLE 4: Physical security of the records is sufficiently protected

The physical security of official records of temporary value needs to be sufficiently protected by storage methods, equipment and handling procedures, disaster response plans, and security measures.

Explanation

Package records into containers before they are moved into an ASP. Suitable packaging protects against incidental damage through handling, helps to produce stable micro-environmental conditions and reduces water and fire damage in cases of disaster.

Ensure containers are clean and in good condition, designed to fit the records, strong enough to withstand handling, pressure and the weight of the records, and of a quality and composition commensurate with the records' format, media and use.

Ensure all equipment for records storage accords with occupational health, safety and welfare codes of practice.

Shelving must be raised off the floor as a disaster precaution. Ensure the floor of the building is capable of holding the weight of fully loaded shelving and that racking does not restrict good ventilation in the storage area.

Establish and maintain disaster management programs and an up-to-date disaster response plan. Ensure all storage areas have alarms, heat and smoke detection and fire-extinguishing equipment.

Include access status and control, controlled access to storage areas and an unauthorised entry detection system in the security measures.

Benchmarks

- The approved service provider needs to have in place a disaster response plan that is reviewed annually. State Records has developed a toolkit to assist in this process.
- The approved service provider needs to meet storage, handling, security and confidentiality requirements set by State Records (refer to attachment 2 within the Guideline).

Glossary

State Records has produced an extensive Glossary of Records Management Terms. This can be accessed and downloaded from the Adequate Records Management, publications section of the State Records website, <http://www.archives.sa.gov.au>.