

## ✕ 6. Appendix: Checklist of Minimum Requirements

This checklist is a tool for managing risks to records in storage. It can be used to assess compliance with the standard. Where a requirement is not met, an organisation must assess and treat the storage risks involved over time.

PRINCIPLE/REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
<p><b>Principle 1: Identification and Control</b></p> <p><i>Records are controlled so that they are able to be identified and retrieved easily, and to prevent damage or loss.</i></p>				
<p>Requirement 1: Records must be identified and registered in a system which controls the records and allows efficient retrieval. (Applies to all records and archives)</p>				
<p>Requirement 2: Records must be arranged in an orderly manner, and well managed so that order is maintained. (Applies to all records and archives)</p>				
<p>Requirement 3: Procedures must be in place for retrieving, handling and reshelving records, and for returning records to off-site storage. (Applies to all records and archives)</p>				
<p>Requirement 4: Inactive records of archival value must be identified so that they can be stored appropriately. (Applies to inactive records and archives)</p>				

PRINCIPLE/REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
<p><b>Principle 2: Facilities</b></p> <p><i>Records that are not in active use are stored in facilities that enable access and ensure preservation for as long as they are required.</i></p>				
<p>Requirement 5: Records that are not in active use must be stored in a dedicated storage area. (Applies to inactive records and archives)</p>				
<p>Requirement 6: Storage areas must allow ongoing access to the records by authorised users. (Applies to inactive records and archives)</p>				
<p>Requirement 7: Records must be stored in locations which reflect the characteristics of their format and their retention period. (Applies to inactive records and archives)</p>				
<p>Requirement 8: The building in which records are stored must comply with the New Zealand Building Code that applied at the time of construction and associated codes and standards, and be appropriate for use in storing records. (Applies to inactive records and archives)</p>				

PRINCIPLE/REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
Requirement 9: The building in which records are stored must have adequate drainage systems to prevent flooding. (Applies to inactive records and archives)				
Requirement 10: The storage area must be insulated from the climate outside. (Applies to inactive records and archives)				
Requirement 11: Storage areas must be protected against internal hazards. (Applies to inactive records and archives)				
Requirement 12: A building maintenance programme must be in place. (Applies to inactive records and archives)				
<b>Principle 3: Protection against Disaster</b> <i>Disaster management programmes are established and maintained to minimise risks.</i>				
Requirement 13: Records are located as far as possible from natural and man-made hazards. (Applies to all records and archives)				
Requirement 14: A disaster management plan and procedures must be in place, kept current, and known to staff. (Applies to all records and archives)				

PRINCIPLE/REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
Requirement 15: Staff who are responsible for records must be trained in emergency procedures to protect and salvage the records. (Applies to all records and archives)				
Requirement 16: There must be a comprehensive fire protection system and equipment for the building, in compliance with the New Zealand Building Code. (Applies to all records and archives)				
<b>Principle 4: Security</b> <i>Records are secure against theft, vandalism, misuse, or inadvertent release.</i>				
Requirement 17: Records which contain sensitive or classified information must be identified and protected. (Applies to all records and archives)				
Requirement 18: Access to records storage areas must be controlled and restricted to authorised staff. (Applies to inactive records and archives)				
Requirement 19: Storage areas must be intruder resistant and have an intruder alarm system. (Applies to inactive records and archives)				

PRINCIPLE/REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
<p><b>Principle 5: Shelving and Packaging</b></p> <p><i>Records are protected through appropriate packaging and shelving or storage equipment.</i></p>				
<p>Requirement 20: Records must be stored using shelving or equipment appropriate to the format and size of the items. (Applies to all records and archives)</p>				
<p>Requirement 21: Inactive records of archival value must be packaged in containers which are clean, in good condition and appropriate to the format and retention period of the records. (Applies to inactive records of archival value, and archives)</p>				
<p><b>Principle 6: Environmental Control</b></p> <p><i>Records are stored in environmental conditions which will ensure they are preserved for as long as they are required.</i></p>				
<p>Requirement 22: Records must be stored away from light. (Applies to all records and archives)</p>				
<p>Requirement 23: Magnetic media must be stored away from magnetic fields. (Applies to all records and archives)</p>				
<p>Requirement 24: Storage areas must be kept clean. (Applies to inactive records and archives)</p>				

PRINCIPLE/REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
Requirement 25: Records of short-term value must be stored in conditions which ensure preservation until they are no longer required. (Applies to inactive records)				
Requirement 26: Inactive records of archival value must be stored in conditions where the relative humidity is never above 60% or below 30%. (Applies to inactive records of archival value, and archives)				
Requirement 27: Inactive records of archival value must be stored in conditions where the temperature is never above 25 degrees centigrade. (Applies to inactive records of archival value, and archives)				
Requirement 28: Archives must be stored in conditions where the relative humidity does not fluctuate by more than 10% in a 24 hour period, or 20% in a year. (Applies to archives)				
Requirement 29: Archives must be stored in conditions where the temperature does not fluctuate by more than 4 degrees centigrade over a 24 hour period, or 10 degrees centigrade over a year. (Applies to archives)				

PRINCIPLE/REQUIREMENT	YES	NO	IF NO, WHAT RISKS EXIST?	ACTIONS REQUIRED TO TREAT RISKS
Requirement 30: Environmental conditions for records of archival value must be regularly monitored and records of monitoring must be kept. (Applies to inactive records of archival value, and archives)				