



Australian Government
Department of Defence
Estate and Infrastructure Group

Information Access Unit
Standard Operating Procedure

Requests for Storage with Information Access Unit

Amendment Certificate

Version Control

Date	Version	Author	Details
070520	1	s47E(c)	Created for Product Support
110221	2	s47E(c)	Updated information
040724	3	s47E(c)	Updated information

Document Approval

Job Title	Name	Signature	Date

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Overview:

The storage of records with the Information Access Unit is dependent on meeting the acceptance criteria. This ensures records are adequately controlled, stored and preserved for their lifecycle.

This SOP provides Product Support staff with the information required to ensure that the files in all requests for storage, meet the Information Access Unit's acceptance criteria.

Annexes

Annex A – Storage with the Information Access Unit pg 3

Annex A – Storage with the Information Access Unit

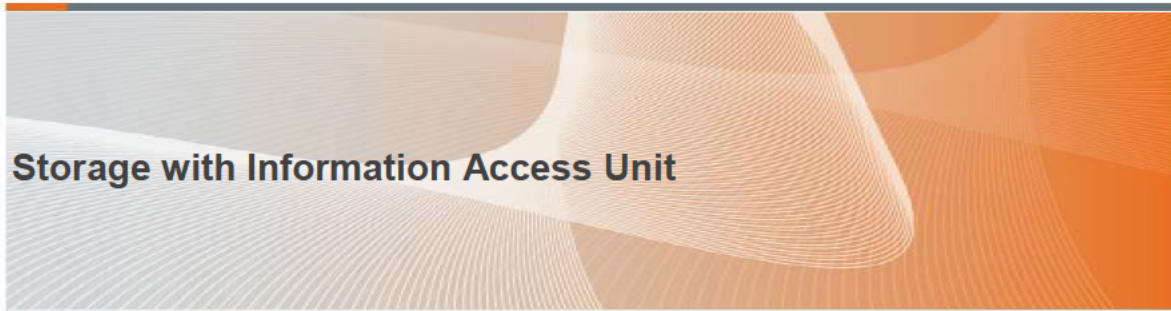
Step	Action
1	To determine if the files meet the criteria for storage, they must be as follows: • Contained in an official file cover, attached with a paper binder and no staples or pins on the covers • Registered on Objective, with file barcode label on file cover • No electronic media contained within file • No mixed mode files • Files must be sentenced and the metadata entered correctly on Objective on the file part not the Parent file(screen shot below) • Files must be free of vermin and mould • For large consignments of files, they should be boxed into destruction years s47E(d)
2	Are the files Retain National Archives (RNA) • Yes, inform the customer to contact the Enterprise Records Management team (ERM), who will then liaise with the National Archives of Australia (NAA) to organise transfer of custody of the file to them. • No, continue on.
3	Does the customer require regular access to these files? • Yes, inform the customer that it would be best practice for them to retain the files in their area for ease of access. • No, continue on.
4	Can the files be destroyed, IE the sentenced is not to be Retained Permanently (RP)? • Files that can be destroyed in the future, check to see if an Information Access Unit has the room to store them. If so organise transfer of the files. • The files are sentenced RP or there is currently no room at any of the IAU's, inform the customer to look into commercial storage. • If the customer comes under SEG the funding will come out of the same bucket as IAU and the invoices will come to us. They can use the same cost center code.

	• If the customer is not part of SEG, they will have to fund the cost of storage themselves, however we can assist them on how to organise storage with Iron Mountain if they want to use them.
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Version Control

Date	Version	Author	Details
200520	1	s47E(c)	Updated for transfer to Product
200323	2	s47E(c)	Updates to format
230523	3	s47E(c)	Change email address

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Australian Government
Department of Defence

Directorate of Information Access Unit

Storage with Information Access Unit

The storage of records with Information Access Unit is dependent on meeting the IAU's acceptance criteria. This ensures records are adequately controlled, stored and preserved for their lifecycle and the safety of IAU staff.

This guide aims to provide information for how to prepare your records for storage, request storage from the IAU and where to seek further guidance if required.

When seeking storage from IAU please use the following process;

- Ensure your records meet the appropriate criteria for their file type (Paper Files page 2, Box files pages 3-5 of this guide)
- Fill out the request for storage form (pages 6-7 of this guide)
- Send the completed request for storage form to the Product Support Team
s47E(d)
- Ensure your records are boxed together in groups based of their Destruction year IAU will prioritise its acceptance of files for storing based on factors such as:
 - Type of records being transferred
 - Volume of records
 - Physical condition of records
 - The storage type and capacity of IAU Centers

Note: it may be necessary to engage the services of an external storage facility. IAU reserve the right to refuse acceptance of records due to operational requirements and/or other factors such as space shortages.

IAU only accepts paper files and **DO NOT** accept:

- Mixed mode corporate records. Mixed mode items should be separated from their physical counterparts and managed appropriately by originating units
- CDs, DVDs, Cassette Tapes or other types of digital media
- Large or odd shaped items

If further guidance or advice is necessary, please contact the Product Support Team via s47E(d)



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CRITERIA FOR ACCEPTANCE OF PAPER FILES BY IAU

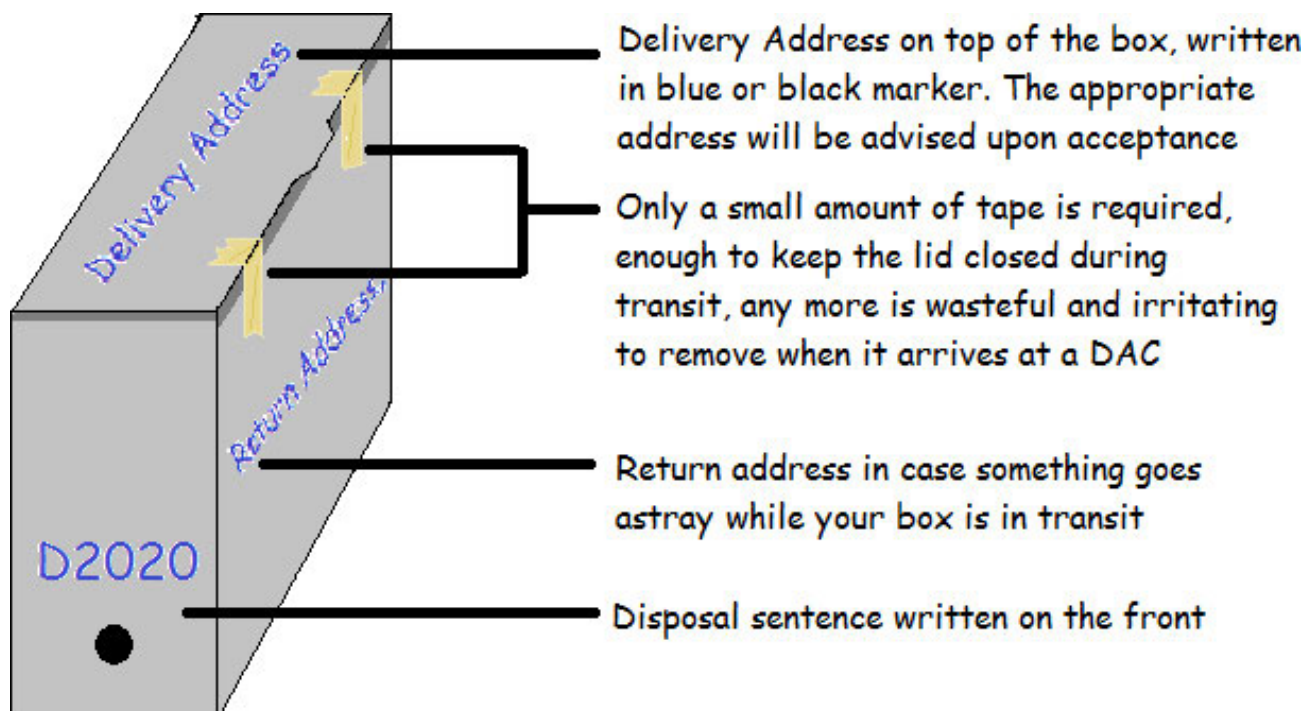
1. Documents must be in official file covers¹. Official file covers are designed to protect the contents from damage over time.
2. Files must be registered on the Defence mandated electronic record keeping system (Objective) prior to acceptance by IAU.
3. Files must have an Objective recognised barcode. In most cases, these are barcodes generated by Objective and printed on the file label.
4. All documents must be attached to the file using a 38mm paper binder or tube clip. Anything over 3cm in thickness requires a new file part. Staples, pins and other clips must be removed from the inside of the file cover itself.
5. No electronic media (video, audio tapes, CDs) are to be stored on files. These records should be managed electronically in Objective. IAU do not have the facilities to appropriately store this kind of material, which can lead to its rapid deterioration.
6. Files must not be Mixed Mode or contain any electronic documents. These documents should be managed electronically in Objective in a separate virtual file. IAU will not accept any files containing electronic documents. Contact S47E(d) for further information regarding electronic documents.
7. Files must be sentenced and the metadata entry in Objective must be in accordance with the IAU SOP "For the sentencing and disposal of Defence records".
8. All sentenced files identified for transfer must be placed in an accessible location on Objective. The following Objective User Group must be given access to that location: "SEZ [SDD] DASC Archive Coordinator" gBS3454. This will enable IAU to check the sentencing metadata prior to acceptance.
9. Files should only be packed and transported in containers that weigh less than 16kg. This is due to Workplace Health and Safety regulations.
10. The files must also be free of vermin and mould.
11. Files should be grouped into destruction years and packaged together prior to sending to IAU.

¹ File covers are an official 'form' and can be obtained by submitting a web form AB189 to the business unit's Store.



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PACKING PAPER FILES IN BOXES FOR DELIVERY TO IAU's



Information regarding obtaining archival quality boxes is available from

<https://www.naa.gov.au/information-management/storing-and-preserving-information/preserving-information/preserving-paper-files/list-certified-archival-quality-products>.



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CRITERIA FOR ACCEPTANCE OF BOX FILES BY THE IAU

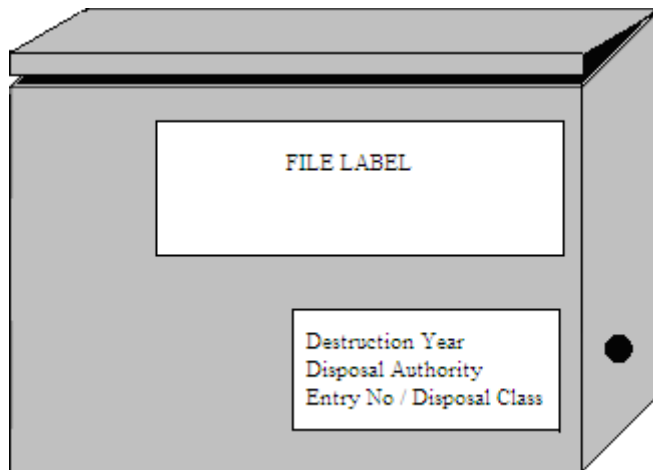
The possibility exists for certain types of information to be managed at box level as opposed to individual file level. This is subject to individual negotiation with IAU. As a guide, the following conditions apply:

1. Documents must be in Type 1.1 (Acid Free) archival quality boxes and weigh less than 16kg. These boxes are designed to protect the contents from damage overtime. See NAA website for ordering of these boxes.
2. Box files must be registered on Objective the same way as individual files.
3. Box files must have an Objective generated file label containing an Objective generated barcode. Objective generated file labels must be placed in the location specified in the attached diagram.
4. Any documents stored in ring binders must be removed and placed in the box loose. Ring binders should be disposed of or repurposed locally and not included in any requests for storage.
5. No electronic media (video, audio tapes, CDs) are to be stored in box files. These records should be managed electronically in Objective. IAU do not have the facilities to appropriately store this kind of material, which can lead to its rapid deterioration.
6. Files must not be Mixed Mode or contain any electronic documents. These documents should be managed electronically in Objective in a separate virtual file. IAU will not accept any files containing electronic documents.
7. Box files must be full. If a whole box cannot be filled, file parts should be raised in standard file covers.
8. Box file lids should be taped closed for transport with a small amount of tape, see diagram on page 4.
9. Box Files must be sentenced and the metadata entry in Objective must be in accordance with the IAU SOP "For the sentencing and disposal of Defence records".
10. All sentenced files identified for transfer must be placed in an accessible location on Objective. The following Objective User Group must be given access to that location: "SEZ [SDD] DASC Archive Coordinator" gBS3454. This will enable IAU to check the sentencing metadata prior to acceptance.
11. The records must also be free of vermin and mould.

Note: Files received at IAU that do not meet these criteria will be returned for corrective action and/or not accepted for storage.



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Please note the orientation of the box in this diagram and which way the top opens i.e. from left to right. The Objective created file label will contain the barcode. It will be located on the top right hand side. This is the barcode that will be scanned by an archival unit in order to store the box.

The Disposal Authority, Entry Number, Disposal Class and Year of Destruction are explained in the SOP for sentencing Defence Records.

Information regarding obtaining archival quality boxes is available from

<https://www.naa.gov.au/information-management/storing-and-preserving-information/preserving-information/preserving-paper-files/list-certified-archival-quality-products>.



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REQUEST FOR RECORDS STORAGE WITH IAU

This form enables IAU to prioritise the acceptance of records based on available storage capacity. You will be notified of the acceptance of records as space becomes available.

All records must be prepared in accordance with the IAU criteria for acceptance.

It is expected that all records are sentenced, and any material due for destruction now is actioned and not recorded on this form.

Requester Details:

Name:		Unit/Organisation:	
Contact phone:		Contact e-mail:	
Defence Site:		Location:	

Details of File Storage:

What is the priority for transferring these files? If high, please specify the reason.	
Have the files been sentenced in accordance with IAU's SOP "For the sentencing and disposal of Defence records". Please note: if the answer is no, or your files are found not to be, your request will be rejected.	
Has the sentencing information been recorded on the file cover? Please note: if the answer is no, or your files don't have this information recorded, your request will be rejected.	
Is there a current business requirement for the information contained in the files? i.e. Used regularly, on-going project. Please note: if the answer is yes, please review your decision to archive the files. Files that are archived should not need to be regularly accessed.	
Are the files in official file covers? Please note: if the answer is no, or the files received are not in official covers, your request will be rejected.	
Are the files registered in Objective? Please note: if the answer is no, or the files received are not on Objective, your request will be rejected.	

Do the files/parts have an Objective recognised barcode? Please note: if the answer is no, or the files received do not have an Objective label on them, your request will be rejected.	
Is all the material attached to the file cover/s? (Nothing can be stapled, clipped or glued to the file cover/s). Please note: if the answer is no, or the files received have documents incorrectly attached, your request will be rejected.	
Are there any electronic media in the files (tapes, videos, CDs)? Please note: if the answer is yes, or the files contain these items, your request will be rejected.	
Are any of the Objective files Mixed Mode, or contain any electronic documents? Please note: if the answer is yes, or the files contain these items, your request will be rejected.	
Are the files/parts in a folder or location that the "SEZ [SDD] DASC Archive Coordinator" gBS3454 user group has access to? Please forward/attach an Objective link to this folder or location to enable your request to be progressed.	
What is the quantity of files? i.e. individual files or number of boxes (please specify)	
What is the highest security classification of the material being sent?	

I have read and acknowledge the Criteria for Acceptance I acknowledge and accept that any files stored with IAU will be disposed of after the minimum retention period in accordance with National Archives of Australia approved Records Authorities, unless a longer retention period has been agreed by IAU. I acknowledge and accept that IAU retain the right to relocate files to alternative storage (such as different archival facilities or commercial storage providers)	
Name (printed):	
Signature:	
Date:	

Email the completed form to the following address:

s47E(d)

	Date Received:	Date Actioned:	Data Verified on Objective:	Actioned by:
IAU use only				