



RISK REGISTER FORM: Government Request to Access State Archives

This form is used when requesting physical access to State Archives that requires transport and movement of archival materials outside of the State Records Office premises.

RISK ASSESSMENT MOVEMENT AND HANDLING

- *Instructions on how to complete the Risk Register are included on pages 2 and 3.*
- *Please complete **all sections** of the Risk Register on pages 4 and 5 - submit (as an attachment) to the State Records Office via the Online request form.*
- *Examples of satisfactory responses to the Risk Register are provided on pages 6 and 7.*

INSTRUCTIONS:

There are two categories of risk associated with the movement of State Archives:

1. **Site-to-site movement and handling.** Includes the transport of records from one site to another, such as from the Dianella repository to the Alexander Library Building, to a service provider or the location of a government organisation office. Refers to wrapping materials, physical handling practices, secure transport, the proximity of hazardous materials, storage within transport vehicles, security and authorisation of handlers, registering movement, location and custodian and so on.
2. **Within-site movement and handling.** Includes the unpacking, handling, location, movement, and use of State archives within a building. Refers to the handling of a wrapped package once it is received at a site, registration of movement, unwrapping and rewrapping whilst in use, where and how the archives are used, what materials may be present or used in where archives are located, what people may have access to archives, how unwrapped archives are moved from internal location such as a shelf to a desk and back again and so on.

Four types of risk associated with State Archives preservation need to be assessed and managed.

1. **Damage.** Identify and assess the conditions under which archives or any part thereof are at risk of being damaged, vandalised or destroyed, ranging from minor damage to complete destruction.
2. **Loss.** Identify and assess the conditions under which archives, or any part thereof including their information content, are at risk of being lost or misplaced.
3. **Security.** Identify and assess the conditions under which archives are not secure, including risks related to unauthorised access, removal, or theft.
4. **Control.** Identify and assess the conditions under which archives risk being improperly managed, including health and safety, archival registration, reporting and managing risk incidents.

Complete the Risk Register

Step 1: In the Risk field, list and number each risk (what could go wrong), relevant to the category and type of risk.

Step 2: In the Participants field, list the people including service providers who have access to the archives for each risk.

Step 3: Calculate the Risk level using Table 1. The level will be a number between 1 and 25.

Step 4: In the Controls field, list process, policy, device, practice, or other conditions and/or actions that maintain or modify each risk.

Step 5: In the Action(s) field list the action(s) that are in your control to take to treat each risk if it occurs. If a risk does not require an action, state 'no action'. Make sure to include a sense of time. e.g. Action takes place before the item is moved.

Step 6: Ensure each action has a responsible person allocated that will undertake the action. Capture this information in the Responsibilities field.

Table 1: Risk Matrix – to calculate the Risk Level

IMPACT	LIKELIHOOD				
	Rare (1)	Unlikely (2)	Possible (3)	Likely (4)	Almost Certain (5)
Insignificant (1)	Low (1)	Low (2)	Low (3)	Moderate (4)	Moderate (5)
Minor (2)	Low (2)	Low (4)	Moderate (6)	Moderate (8)	Moderate (10)
Moderate (3)	Low (3)	Moderate (6)	Moderate (9)	High (12)	High (15)
Major (4)	Moderate (4)	Moderate (8)	High (12)	Extreme (16)	Extreme (20)
Catastrophic (5)	Moderate (5)	High (10)	Extreme (15)	Extreme (20)	Extreme (25)

To calculate the Likelihood use Table 2:

LEVEL	DESCRIPTOR	DESCRIPTION	PROBABILITY	FREQUENCY
1	Rare	The event may occur only in exceptional circumstances.	<5%	Less than once in 7 years
2	Unlikely	The event could occur at some time.	5-25%	Once in 7 years
3	Possible	The event should occur at some time.	25-75%	Once in 3-7 years
4	Likely	The event will probably occur in most circumstances.	75-95%	Once per 1-3 years
5	Almost certain	The event is expected to occur in most circumstances.	>95%	More than once per year

To calculate the Impact, please review your department's Risk Management Procedures and Guidelines.

State Archives Movement and Handling Risk Register

Category	Risk <i>List what can go wrong</i>	Participants <i>List all who will have access to the archives</i>	Risk level 1-10	Controls <i>List the mechanisms to prevent or mitigate the event occurring or limit its impact.</i>	Action(s) <i>List the action(s) you will take to treat the risk and when this will occur.</i>	Responsibilities <i>List who is responsible for taking actions to treat the risk.</i>
Site-to-site movement and handling	Damage					
	Loss					
	Security					
	Control					

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Within-site movement and handling	Damage					
	Loss					
	Security					
	Control					

EXAMPLES

	Risk What can go wrong?	Causes What could potentially cause that to happen?	Controls Mechanisms in place to prevent or mitigate the event occurring or limit its impact.
Damage	<ul style="list-style-type: none"> State archives could be damaged in whole or in part, e.g. Ripped or folded against existing folds. A rolled item is unrolled without conservation treatment. Water and food located near archives are spilled. Ripped when removing fasteners. Mould growth. Water damage. Destruction from fire. 	<ul style="list-style-type: none"> Mishandling when being transported. Mishandling in an office. Archives are already fragile or damaged Poor wrapping and unwrapping Unsuitable storage facilities Exposure to air, light, moisture, insects or vermin, dust, or pollution Deliberate vandalism Untidy or unsafe workplace and work practice. Unexpected disasters, including flood, cyclone, fire, war etc. 	<ul style="list-style-type: none"> Establishing procedures and protocols to control and monitor where and how archives are held including: Environmental controls heat, humidity, light, dirt, animals, and insects. Assessing and monitoring storage locations and facilities to meet accepted archival standards, including from the State Records Commission. Being prepared to act if any disaster threatens archival materials. Assessing archives when they arrive in the building against the condition report and ensuring they are regularly monitored. Educating, training, and establishing procedures for staff, users and any service provider (courier etc.) on the best ways to move, handle, and use archives, including keeping desks tidy and free from food and drink. Registering people or service providers who have the authority to handle archives.
Loss	<ul style="list-style-type: none"> State archives could be lost or misplaced in whole or in part, e.g. Misplace items from a file such as post-it notes. Files are not in the same location they were left in. Files go missing in transit. 	<ul style="list-style-type: none"> Mishandling when being transported. Mishandling in an office. Unsuitable storage facilities. Unscrupulous individuals with access to state archives. 	<ul style="list-style-type: none"> Establishing procedures and protocols to control and monitor where and how archives are held. Registering the movement of archives in and out of buildings, offices etc. Undertake a police check of those who handle archives.
Security	<ul style="list-style-type: none"> State archives may be accessed by unauthorised people, be removed without authorisation, sent to another agency or outside of government or stolen. 	<ul style="list-style-type: none"> Unauthorised people may gain access because of poor handling practices, poor storage facilities, lack of familiarity with SRO requirements around loaning and movement of archives, and a lack of awareness of how to secure archives against theft. 	<ul style="list-style-type: none"> Establishing procedures and protocols to control and monitor where and how archives are held. Registering the movement of archives and those authorised to view and/or handle archives. Always pack away archives at the end of a business day and store them in a secure location. Register the movement of people into and out of the building and/or office. Undertake a police check of those who handle archives.

Control	<ul style="list-style-type: none">▪ State archives are improperly managed, including health and safety, archival registration, reporting and managing risk incidents, e.g.▪ Lack of skill, knowledge, training and procedures on how to safely handle and manage State Archives including proper storage.▪ Lack of awareness, training and procedures on how to respond to a disaster involving State Archives.▪ Lack of registration controls that document where State Archives is located at any given time.▪ Lack of control related to who can or is authorised to access State Archives.▪ Lack of skill, knowledge, training and procedures on how to handle, manage and report risk incidents listed in the risk register.	<ul style="list-style-type: none">▪ Lack of or inadequate information about State organisation responsibilities when handling, storing and managing access to State archives.▪ Lack of or inadequate staff education and training.▪ Not considering the preservation and access needs of State Archives a priority.▪ Not respecting public property.	<ul style="list-style-type: none">▪ Establishing relevant policies, standards, procedures, registers and protocols.▪ Identify knowledge gaps and seek out ways to address those gaps.▪ Develop a staff education and training program.
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