



Public Record Office Victoria
PROS 11/01
Storage Standard

Guideline

6

Record Storage: Authorisation and Inspection Programme

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1. Introduction

1.1. Public Record Office Victoria Standards

Under section 12 of the *Public Records Act 1973*, the Keeper of Public Records ('the Keeper') is responsible for the establishment of Standards for the efficient management of public records and for assisting Victorian government agencies to apply those Standards to records under their control.

Recordkeeping Standards issued by PROV reflect best practice methodology. This includes International Standards issued by the International Organisation for Standardisation (ISO) and Australian Standards (AS) issued by Standards Australia in addition to PROV research into current and future trends.

Heads of government agencies are responsible under section 13b of the *Public Records Act 1973* for carrying out, with the advice and assistance of the Keeper, a programme of efficient management of public records that is in accordance with all Standards issued by the Keeper.

In Victoria, a programme of records management is identified as consisting of the following components:

- A recordkeeping framework
- Recordkeeping procedures, processes and practices
- Records management systems and structures
- Personnel and organisational structure
- Resources, including sufficient budget and facilities.

A programme of records management will cover all an agency's records in all formats, media and systems, including business systems.

1.2. Purpose

The purpose of this Guideline is to provide useful and practical advice for agencies on authorisation to store records (whether in house or within a commercial storage provider), and for APROSS and State Archive Storage on the authorisation processes and PROV inspection Programme.

1.3. Scope

The intended audience for this Guideline is government agencies, organisations storing and managing State Archives and APROSS service providers.

1.4. Related Documents

This Guideline must be read and implemented in conjunction with Public Record Office Victoria (PROV) Standards and associated documentation, including appropriate Retention and Disposal Authorities (RDAs). The Standard, Specifications and other Guidelines associated with this Guideline are detailed below:

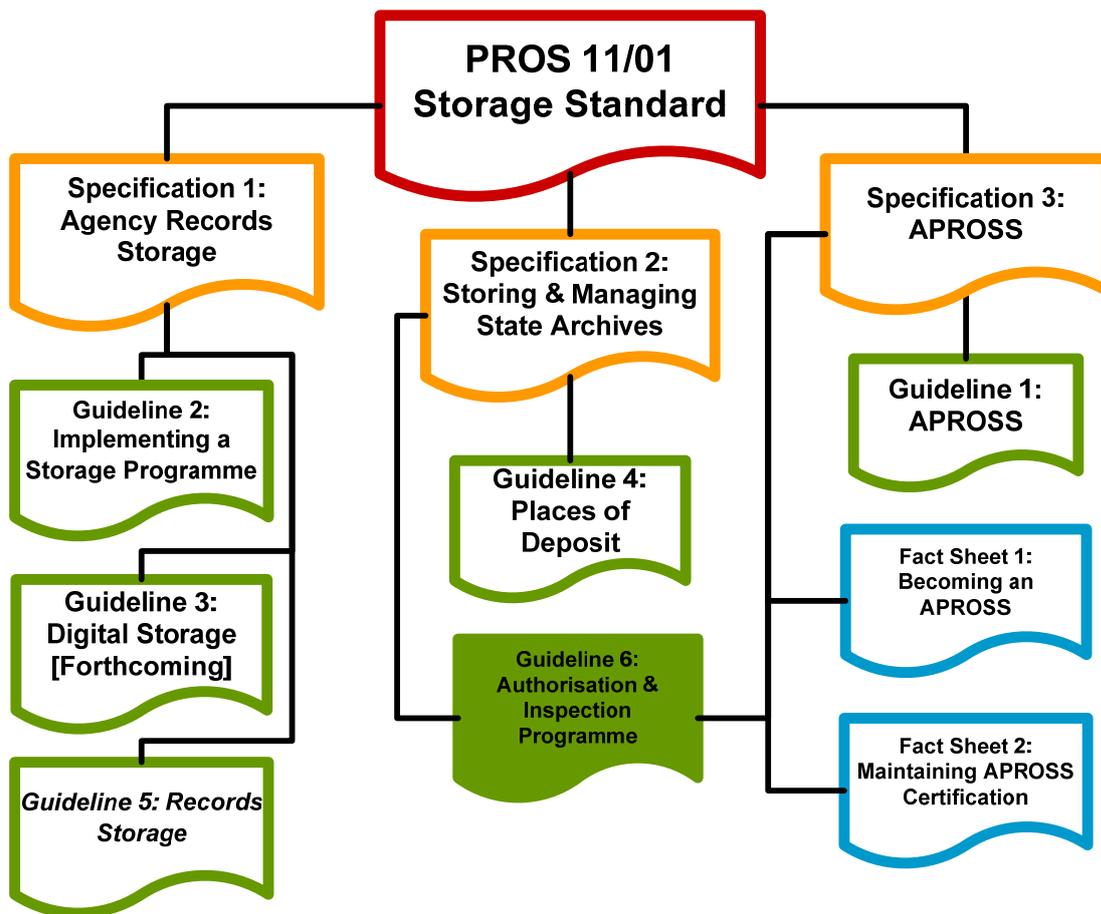


Figure 1: Relationship Diagram

2. Authorisation

This section of the Guideline has been produced to assist organisations in meeting the Authorisation principle of *PROS 11/01 Storage Standard* and associated requirements within the following Specifications:

The principle is as follows:

All public records must be stored in conditions that are authorised by the Keeper of Public Records.

2.1. Agency Storage

Authorisation for agency storage is obtained by compliance with *PROS 11/01 Specification 1: Agency Records Storage*¹ and assessed by the agency.

2.1.1. Agency storage areas and facilities.

The nominated senior officer or appropriate agency representative is responsible for inspecting and authorising all records storage areas and facilities used by the organisation.

Making decisions about and authorising where records are stored should involve a detailed assessment of each potential or existing records storage area and facility against the requirements in *PROS 11/01 Specification 1: Agency Records Storage*. This may be done with the assistance of *PRO 53 Agency Storage Self-Assessment Checklist*².

It is important that records storage services and activities are undertaken by appropriate staff with relevant skills and knowledge.

Inspections and assessments of potential storage areas and facilities should involve the following agency personnel:

- Records Manager
- Facilities Manager
- And/or senior staff members with responsibility for records management or other relevant areas of expertise.

These assessments must be endorsed by the relevant senior agency executive and be made available to PROV upon request (See Requirement 7).

Agency records should not be stored in areas or facilities which have not been assessed in accordance with *PROS 11/01 Specification 1: Agency Records Storage* Requirement 1.

There are a number of Storage Guidelines to help agencies implement the Specification requirements (please refer to Figure 1: Relationship Diagram in Section 1).

¹ *PROS 11/01 Storage Standard* and associated Specifications and Guidelines may be downloaded from PROV's website: <<http://prov.vic.gov.au/government/standards-and-policy/storage>>.

² See form *PRO 53 Agency Storage Self-Assessment Checklist* may be downloaded from PROV's website: <<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pro-53>>.

2.1.2. Agency use of commercial storage.

Agencies will frequently use commercial storage service providers to store records which are no longer required for ongoing business.

Agencies should only use commercial storage service providers that have been appointed under the PROV Approved Public Record Office Storage Supplier (APROSS) programme. A list of these is available on the PROV website <<http://prov.vic.gov.au/government/archival-supplies-and-storage>>. When negotiating with these service providers it is also recommended to ask them to provide you with a copy of the signed PROV certification document.

It is important to note that under the APROSS programme PROV does not endorse the operating procedures of the organisation, costs or their services. It certifies that the individual storage facility meets the requirements under *PROS 11/01 Specification 3: APROSS*. It is up to the individual agency to negotiate the services and costs. Whilst the commercial storage provider may operate several sites including certified APROSS sites, you should ensure that the site/s where your records will be stored have been certified.

Records can only be transferred into an APROSS under the following circumstances:

- Unsentenced records can only be transferred to an APROSS facility once an agency approved plan is in place to sentence records within a specified time period. The sentencing plan³ must be made available to PROV upon request (see Requirement 3).
- Temporary records can be stored in an APROSS at any time.
- Permanent records must only be stored in APROSS if a plan to transfer the records to PROV⁴ or a PROV approved facility for storing permanent records within a specified timeframe has been approved by PROV (see Requirement 4).

2.2. Storage and Management of State Archives

Authorisation for the storage and management of State Archives is obtained by compliance with *PROS 11/01 Specification 2: Storing and Managing State Archives*⁵ and assessed by PROV representatives.

It is strongly advised that any organisation wishing to become authorised to store and manage State Archives discuss what is expected and required with a PROV representative before taking any action. Organisations wishing to house State Archives must already be certified as a place of deposit under the *Public Records Act 1973*. More information about the Place of Deposit programme is located in *PROS 11/01 Guideline 4: Places of Deposit*.

Storage areas and facilities used for storing State Archives must be assessed for compliance against *PROS 11/01 Specification 2: Storing and Managing State Archives* by a PROV representative/s (See Section 3 Inspection Program). If the assessment is successful, the Keeper of Public Records may authorise State Archives to be transferred into them.

³ See form *PRO 41 Request for Approval of Sentencing Plan* <<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pro-41>>.

⁴ See form *PRO 42 Request for Approval of Transfer Plan*: <<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pro-42>>.

⁵ *PROS 11/01 Storage Standard* and associated Specifications and Guidelines may be downloaded from PROV's website: <<http://prov.vic.gov.au/government/standards-and-policy/storage>>.

The storage of State Archives requires considerable and careful planning to meet all of the necessary components of Specification 2. Before any work commences on establishing storage areas or facilities, plans associated for the storage and management of State Archives should be discussed with PROV.

Without PROV endorsement before any construction or fit-out work commences there is a danger that the facilities will not meet the requirements of the Specification and therefore be unauthorised to store and manage State Archives. Adjustment of the facilities after they have been built and fitted may not be possible and would be an additional expense.

*PRO 52 Storing State Archives Pre-Inspection Checklist*⁶ was developed to help organisations to prepare for the Inspection and can be used along with the Specification to assess the facilities.

2.3. APROSS Storage

Authorisation for commercial storage providers to store public records is obtained by compliance with *PROS 11/01 Specification 3: Approved Public Record Office Storage Supplier (APROSS)*⁷ and assessed by PROV representatives.

Commercial storage providers must be appointed under Section 12 of the *Public Records Act 1973* by the Keeper of Public Records before they are authorised to store public records on behalf of Victorian government agencies. This appointment will occur once the storage area or facility has been found to be compliant with *PROS 11/01 Specification 3: APROSS*.

It is important to note that under the APROSS programme PROV certifies that the individual site meets the requirements under *PROS 11/01 Specification 3: APROSS*. PROV does not endorse the operating procedures of the organisation, costs or their services.

Once inspected and appointed PROV will list the relevant APROSS site on its website <<http://prov.vic.gov.au/government/archival-supplies-and-storage>>.

Each year the head of the APROSS Company will need to attest that the site continues to meet all of the requirements of the specification and forward the attestation to PROV.

PRO 39 APROSS Pre-Inspection Checklist was developed to help organisations to prepare for the Inspection and can be used along with the Specification to assess ongoing compliance prior to completion of the *PRO 44 Annual Attestation* form⁸. More information on the APROSS programme is located in *PROS 11/01 Guideline 1: APROSS*, in *PROS 11/01 Fact Sheet 1 Becoming an APROSS Facility* and *PROS 11/01 Fact Sheet 2 Maintaining APROSS Certification*.

⁶ See form *PRO 52 storing State Archives Pre-Inspection Checklist*.

<<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pro-52>>.

⁷ *PROS 11/01 Storage Standard* and associated Specifications, Guidelines, Fact Sheets and Forms may be downloaded from PROV's website: <<http://prov.vic.gov.au/government/standards-and-policy/storage>>.

⁸ See form *PRO 44 APROSS Annual Attestation*: <<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pro-44>>.

3. PROV Inspection Programme

This section of the Guideline has been produced to assist organisations in meeting the Inspection principle of *PROS 11/01 Storage Standard*⁹.

The principle is as follows:

Areas and facilities used for the storage of public records must be regularly inspected for compliance with the Storage Standard.

Please note that the PROV Inspection Programme does not include regular inspections of Victorian government agency storage facilities and areas. PROV inspections of agency storage facilities may take place at the discretion of the Keeper of Public Records.

3.1. When Will PROV Inspections Occur?

In order to be appointed as a site authorised to store and manage State Archives or as an Approved Public Record Office Storage Supplier (APROSS) an inspection by authorised PROV staff members is required. This is to ensure compliance with the site against the approved requirements in either *PROS 11/01 Specification 2: Storing and Managing State Archives* or *PROS 11/01 Specification 3: APROSS*.

The inspection cycle is as follows:

- When established; that is, when an organisation first applies to become either an APROSS or a site storing and managing State Archives but before public records are stored within the location
- Upon relocation; that is, when a site is being relocated but prior to operations commencing at the new location
- Within twelve months after the issue of a new or significantly revised PROV State Archive storage specification or APROSS Specification
- When requested by the managing organisation
- Every 5 years; that is, as part of the PROV Inspection Programme.

3.2. Before the Inspection

The first step in the Inspection Process is the completion and submission of the relevant Pre-Inspection Checklist:

- APROSS facilities will need to complete *PRO 39 APROSS Pre-Inspection Checklist*¹⁰, including the collation of supporting documentation

⁹ PROS 11/01 Storage Standard and associated Specifications may be downloaded from PROV's website: <<http://prov.vic.gov.au/government/standards-and-policy/storage>>.

¹⁰ See form *PRO 39 APROSS Pre-Inspection Checklist*: <<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pro-39>>.

- Sites storing and managing State Archives will need to complete *PRO 52 Storing State Archives Pre-Inspection Checklist*, including the collation of supporting documentation.

Organisations should determine the best available evidence to support their claims against each of the Specification requirements. The examples provided in the Specification are suggestions only. Organisations may also determine that as well as any documented evidence that an inspection, demonstration or discussion about how the organisation meets the requirement may also be appropriate.

Once the relevant checklist has been completed and the supporting documentation collated, they should be submitted to PROV.

These checklists provide a valuable insight into the operations of the particular storage area or facility. PROV may discuss these checklists with the relevant organisation prior to the full inspection being conducted.

The strength of the evidence in supporting your claims will be critical in determining the outcome of the inspection and any subsequent appointment process.

3.3. Inspection process

The inspection will be scheduled to allow enough time to gather all evidence and prepare presentations and any inspections or forum discussions.

At inspection, PROV representatives will assess the evidence provided against the specification requirements and determine a score using PROV's scoring matrix (see Table 1, below).

Score	Description
0	No evidence presented supporting this Requirement
1	Types of evidence presented supporting this Requirement are not appropriate
2	Minimal evidence, shows awareness of Requirement
3	Evidence provided does not fully support claims against Requirement.
4	Evidence provided does not fully support claims against Requirement, however: Actions are in place to address deficiencies, ensuring that in the future Requirement can be fully met OR All possible actions to address the Requirement have already been taken.
5	Evidence fully supports organisation meeting this Requirement

Table One: PROV Scoring Matrix

Scores of all PROV representatives will be tallied and an average score determined for each Requirement.

3.4. Appointment Threshold

The scoring matrix described in Table One will be used by PROV to establish an overall score for the facility or storage area based upon the evidence presented. Table Two: PROV Appointment Matrix describes the possible outcomes of the facility's overall score.

Score	Outcome
87 – 100%	Recommendation to the Keeper of Public Records to appoint
77 – 86%	Remedial action plan required to support resubmission of application
0 – 76%	Redevelopment of facility and then resubmission of application

Table Two: PROV Appointment Matrix

Remedial action plans to address the deficiencies found at the time of inspection are time bound and must be approved by PROV. A subsequent inspection to assess the results at the completion of the action plan will be required. Facilities which fall within this category have already done the majority of work needed to get to the required level. The next steps to achieve the required results should only be minimal. PROV will work with organisation to identify those areas.

4. References

Legislation

Public Records Act 1973

All current Victorian legislation is available at <http://www.legislation.vic.gov.au>

Standards

Public Record Office Victoria (PROV) 2011, revised 2014, *PROS 11/01 Storage Standard*, PROV North Melbourne, accessed August 2014
<<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pros-1101>>.

Public Record Office Victoria (PROV) 2011, revised 2014, *PROS 11/01 Specification 1: Agency Records Storage*, PROV North Melbourne, accessed August 2014
<<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pros-1101-s1>>.

Public Record Office Victoria (PROV) 2011, revised 2014, *PROS 11/01 Specification 2: Storing and Managing State Archives*, PROV North Melbourne, accessed August 2014
<<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pros-1101-s2>>.

Public Record Office Victoria (PROV) 2014, *PROS 11/01 Specification 3: Approved Public Record Office Storage Supplier (APROSS)*, PROV North Melbourne, accessed August 2014
<<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pros-1101-s3>>.

Other Resources

Public Record Office Victoria (PROV) 2011, *PROS 11/01 Guideline 1: Approved Public Record Office Storage Supplier*, PROV North Melbourne, accessed August 2014
<<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pros-1101-g1>>.

Public Records Office Victoria (PROV) 2011, *PROS 11/01 Guideline 2 Implementing a Storage Programme*, PROV North Melbourne, accessed August 2014
<<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pros-1101-g2>>.

Public Record Office Victoria (PROV), *PROS 11/01 Guideline 4: Places of Deposit*, PROV North Melbourne, accessed August 2014 <<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pros-1101-g4>>.

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Public Record Office Victoria (PROV) 2014, *PRO 52 Agency Storage Self-Assessment Checklist*, PROV North Melbourne, accessed August 2014
<<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pro-53>>.

For more information about the storage of public records, contact:

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