



Public Record Office Victoria
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Storage

Guideline

4

Places of Deposit (POD) for State Archives

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1.0	01/09/2011	Released
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1.2	25/08/2014	Revised in line with Storage Standard Review 2014
1.3	12/12/2014	Ammended Relationship Diagram and associated references

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 Public Record Office Victoria (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 facilitate implementation of the requirements contained in the *Storing and Managing State Archives Specification* as part of the Places of Deposit (POD) repository certification programme. Archival storage of State Archives enables the records to be:

- Stored in conditions that will allow for their long term preservation
- Secure and protected against damage, loss or unauthorised access
- Accessible so as to meet the ongoing needs and expectations of government and the community.

1.3. Scope

This Guideline applies to Places of Deposit interested in submitting an application to become certified to store and provide access to State Archives. A certified POD repository is a facility or area that has been authorised by the Keeper of Public Records to store State Archives on behalf of PROV. These facilities or areas must already have been appointed by the Minister under section 14 of the *Public Records Act 1973* as a POD for temporary records.

POD repositories are formed by one or more Victorian government agencies or organisations affiliated with government agencies that have been authorised by the Keeper of Public Records to hold State Archives. Examples of current POD repositories include:

- Bendigo Regional Archives Centre (BRAC)
- Geelong Heritage Centre (GHC).

This Guideline is not intended for use by secondary storage suppliers for commercial storage of public records identified as being State Archives, nor is it intended for agency use unless they are setting up a POD repository for the archival storage of State Archives in consultation with PROV.

1.4. Related Documents

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

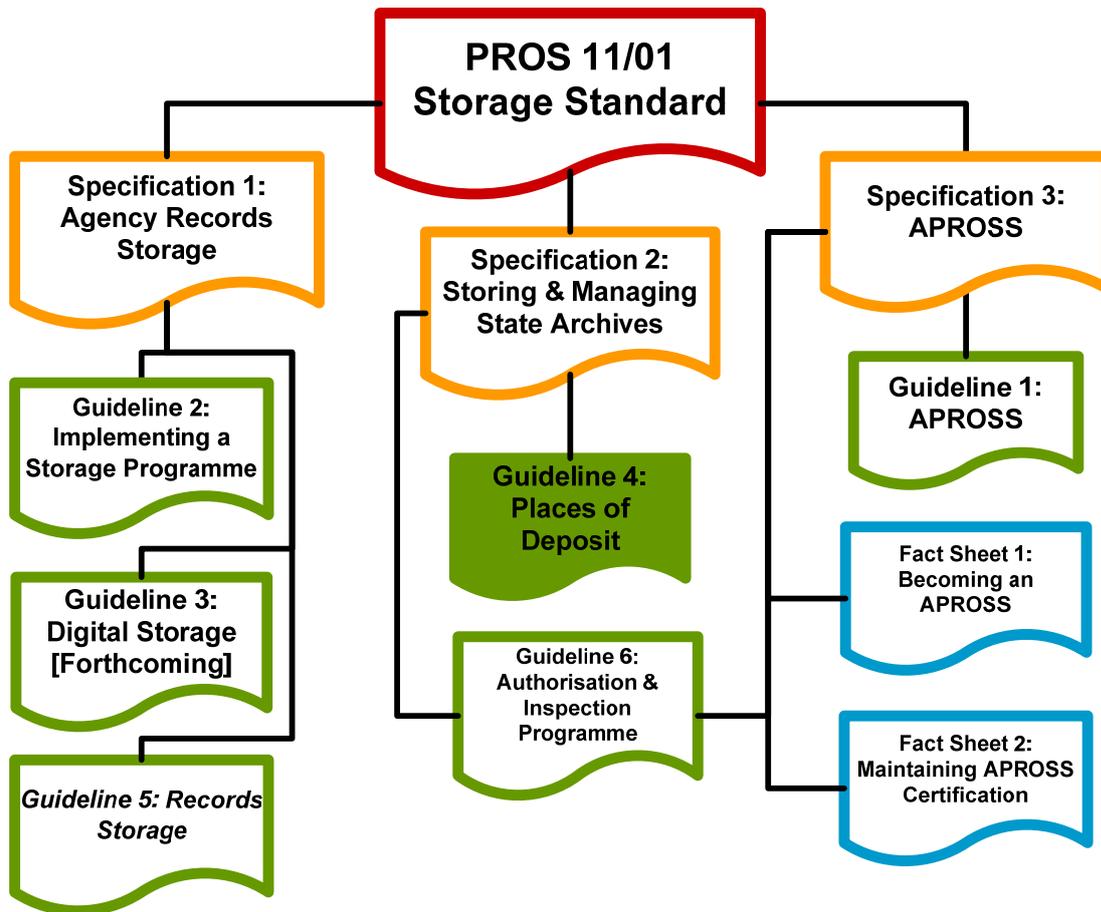


Figure 1: Relationship Diagram

2. POD Certification Programme Overview

A Place of Deposit is a collective term used to describe facilities outside of the Public Record Office Victoria that are appointed by the Minister under section 14 of the *Public Records Act 1973* to house public records.

The purpose of the POD certification programme is to enable certain public records that may be of value to a local community to be kept for public use in that community. There are currently two different types of PODs covered by this programme:

- PODs for temporary records (i.e. records sentenced as being temporary under a current Retention & Disposal Authority)
- POD repositories for State Archives (i.e. records sentenced as being permanent under a current Retention & Disposal Authority).

Records are considered to be in the custody of the Keeper of Public Records when held by a POD, and require the approval of the Keeper to be transferred to or from a POD. This is different from records in an agency or an APROSS, as in both instances such records are considered to be in the custody of the agency.

Organisations wanting to become a POD repository for State Archives will need to have already been formally authorised as a POD for temporary records and should contact PROV prior to undertaking works to meet PROV Standards.

This programme consists of four main processes:

- **Review** (the preparation for becoming a POD repository or renewing certification)
- **Inspection** (undergoing inspection by a PROV representative to become an authorised POD repository for State Archives)
- **Certification** (formal certification, including the completion and signing of contracts and other agreements)
- **Maintenance** (the ongoing activities required to ensure that the POD repository remains compliant with the terms of the contract or agreements and certification).

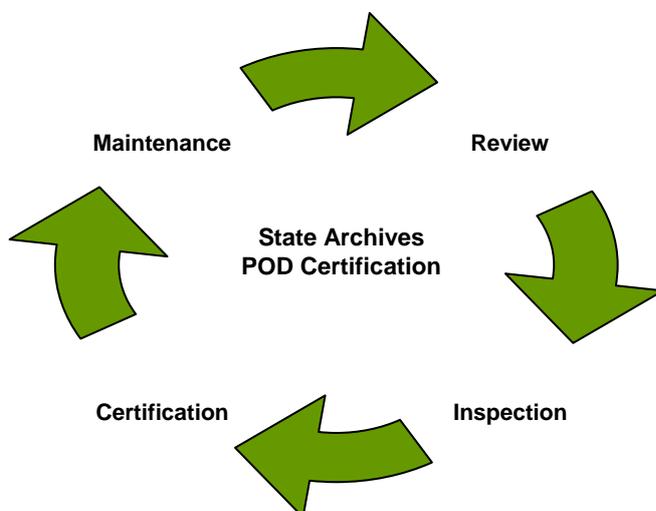


Figure 2: State Archives POD Certification Diagram

2.1. PODs for Temporary Records

Places of Deposit for temporary records are facilities that the Minister for the Arts appoints to care for those public records not considered to be a State Archive but which are of local interest. As well as being cared for in a POD these records are made available for research by the general public.

The terms and conditions that a POD for temporary records must meet are as follows:

- Descriptions of public records to be placed in a POD are to be submitted for approval to the Keeper of Public Records prior to transfer.
- Public records are only transferred with the agreement of the Keeper of Public Records.
- Public records transferred to a Place of Deposit are not considered by the Keeper of Public Records to be part of the permanent archives of the state.
- The storage facility meets conditions as determined by the Keeper of Public Records.
- There is no charge for inspection of the public records.
- Access to public records is made available within a reasonable time frame.
- The Keeper of Public Records has the right to inspect the facility at any time in accordance with section 13(a) of the *Public Records Act 1973*.

Meeting the terms and conditions is formalised through the PROV inspection and recommendation prior to the formal appointment issued by the Minister.

The process for achieving certification to be a POD for temporary records is as follows:

- Submit the following forms to PROV;
 - *PRO 35: Expression of Interest – Place of Deposit*; and
 - *PRO 45: POD Attestation*;
- Undergo inspection by a PROV representative
- Sign terms of agreement with PROV
- Formal appointment by the Minister.

The potential POD for temporary records will be inspected to determine if the storage facility or area is:

- Clean
- Weatherproof
- Secure.

For public records to be transferred to a POD for temporary records, they must:

- Be sentenced by an agency under a current *Retention & Disposal Authority* as being temporary
- Have passed their minimum retention period
- No longer be required by the agency
- Not be considered private or confidential
- Have had their access status determined by the responsible agency as being public.

The remainder of this Guideline does not apply to PODs for temporary records. Information about current PODs for temporary records and how to become one is located on the *PROV website*.

2.2. PODs for State Archives

Places of Deposit for State Archives are facilities that hold State Archives deemed to be of local significance, as determined by the Keeper of Public Records. A POD repository for State Archives are primarily run or resourced in partnership with PROV by a government organisation able to provide ongoing financial support. This may be a collection of government agencies that have entered into a partnership to share the costs and benefits of having a local POD repository for State Archives. Alternatively it may be a single Victorian government agency, such as a local council.

For a facility to be certified as a POD for State Archives, it must meet all requirements in the *Storing and Managing State Archives Specification*. This includes (but is not limited to) the following:

- Temperature and humidity control
- Dedicated archival storage space
- Registration of State Archives held by the POD in the PROV Archival Control System
- Secure premises
- Ongoing programme of maintenance in place
- Disaster preparedness, management and recovery plans in place.

The additional terms and conditions that an organisation holding State Archives on behalf of the Keeper is required to meet are as follows:

- There is no charge for inspection of the public records
- Access to public records is to be made available within a reasonable time frame.

Meeting the terms and conditions is formalised through the signing of a contract or agreement with PROV prior to the formal certification. Contracts are usually for a term of five years. If the POD repository wishes to continue operating after the five years have passed, the contract will need to be renewed.

3. Preparing to become a POD Repository

It is important to be aware of the costs, activities and implications of being a POD repository for State Archives before seeking certification. Preparation consists of reviewing the current environment and what is required for being a POD for State Archives, then making a decision about whether or not to proceed.

There are costs involved with becoming a POD repository for State Archives. Costs may include (but are not limited to) the following:

- Constructing or upgrading storage facilities
- Ongoing maintenance of storage facilities
- Shelving, boxes and other tools or equipment needed
- Insurance¹
- Staff with archival knowledge and skills to retrieve the records, manage the repository and providing public reference services
- Providing reading room facilities.

The benefits of becoming a POD repository for State Archives may include the following:

- State Archives of relevance to the local area remain in the local area
- Local State Archives are preserved for future use by the community
- The facility becomes a training and local expertise hub for the local area regarding Places of Deposit
- There is a strong link to PROV programmes and training, including resources to host training sessions
- The organisation is part of a collection network
- The POD repository is supported by PROV (this does not include provision of financial support) and covered by the *Public Records Act 1973*
- Reduced travel time for local agencies to view the State Archives they transferred to the POD repository.

The review process is to determine whether to undergo or renew certification to become a POD repository for State Archives. It consists of the following three steps:

- **Step One: Conduct Research.** Contact PROV, review current facilities against the requirements of the *Storing and Managing State Archives Specification*, determine what is needed for certification, then identify and plan for the adjustments needed to pass inspection.
- **Step Two: Obtain Authorisation.** Submit a formal request to PROV to become a POD repository for State Archives and determine whether becoming a POD repository is a viable option.

¹ Please note that insurance companies may be unwilling to insure facilities that do not meet all requirements in the *Storing and Managing State Archives Specification*.

- **Step Three: Plan Future Actions.** Review the action required for the POD repository to become certified and incorporate actions into strategic and business plans in preparation for inspection.

3.1. Step One: Conduct Research

This step involves obtaining the information required to do either of the following:

- Determine what is required to obtain certification as a POD repository for State Archives
- Renew certification to continue operating as a POD repository for State Archives.

In either instance, the facility will already need to be a POD for temporary records as issued by the Minister for the Arts under section 14 of the *Public Records Act 1973*.

The following research should be undertaken in order to prepare for or renew certification:

- Determine what the requirements that need to be met for certification are
- Assess whether the facility currently meets the requirements for certification
- Identify what requirements the facility currently does not meet
- Understand what additional work is needed to meet the requirements
- Determine whether the resources exist to meet the requirements
- Determine if a mitigation policy can be used to argue for an exception on a specific requirement (if needed) in order to qualify for certification with caveat
- Understand what types of records cannot be transferred to a POD repository (such as records that have been closed to public access)
- Identify anything else that is required to achieve certification.

Information may be gathered from the following sources:

- A greater understanding of the certification process can be obtained from speaking with a PROV contact, and with other organisations who have already achieved certification. Contact details of current POD repositories and a PROV representative can be found on PROV's *Places of Deposit webpage*
- Compliance requirements are located in the *Storing and Managing State Archives Specification*;
- A risk assessment² against the requirements listed in the Specification will provide an understanding of whether or not the facility currently meets them, and of what is needed
- Engagement with stakeholders³, such as facilities management, information technology and the organisation's decision makers, can provide an understanding of what additional work may be needed to meet the requirements not currently met, and whether the resources required to undertake certification are available.

² For information on how to undertake a risk assessment for records management, please see PROV *Strategic Management Guideline 6: Records and Risk Management*.

³ For information on how to engage with stakeholders about records management, please see PROV *Strategic Management Guideline 7: Stakeholder Engagement*.

Documentation required

It is important to understand what forms of documentation are required to demonstrate compliance with the *Storing and Managing State Archives Specification*. Essentially, there are two different types of documentation:

- Documentation required by the Specification
- Documentation that provides evidence to support meeting the requirements in the Specification.

The documents required by the *Storing and Managing State Archives Specification* are as follows:

- Contracts for the storage of State Archives (requirement 3)
- Disaster preparedness, management and recovery programme or plan (requirement 41)
- Risk assessment (requirements 7 and 16)
- Procedures for retrieval, handling and returning State Archives within archival storage areas and facilities (requirement 32)
- Maintenance programme (requirement 39).

Documentation that provides evidence to support meeting the requirements varies depending on the structures and systems used by specific organisations. Generally, it consists of the following:

- Plans (such as records management strategies and policies, storage plans and other documents that specify what is to be done, when and by who)
- Reports (such as status reports, certificates of occupancy, position descriptions and other documents that provide the results of doing something)
- Logs (such as inspection logs, maintenance logs, risk register and other records of ongoing activity)
- Procedures (such as recovery of lost information, isolation and conservation of State Archives at risk, identification and registration of State Archives in the PROV Archival Control System, and other records of how to do something).

The Specification provides some examples of what evidence may support each requirement but it is not an exhaustive list. The organisation may have a different record that would provide evidence that the requirement has been met.

Legislative Framework

An understanding of the legislative framework that a POD repository for State Archives works within is also needed. Table one (below) outlines the relevance of some of the key legislation governing public records.

Act Name	Relevance to Storing and Managing State Archives
<i>Health Records Act 2001</i>	<ul style="list-style-type: none"> Provides the principles governing health privacy (HPP) including provisions governing access to health information and the length of time after death that health information is to be protected from unauthorised access
<i>Information Privacy Act 2000</i>	<ul style="list-style-type: none"> Provides the principles governing information privacy (IPP) Section 11(1)(c) exempts public records under the control of the Keeper of Public Records that are available for public inspection in accordance with the <i>Public Records Act 1973</i> from the provisions of the Information Privacy Act
<i>Occupational Health and Safety Act 2004</i>	<ul style="list-style-type: none"> Provides the duties of employers and others regarding providing a safe working environment Requirement 38 of the <i>Storing and Managing State Archives Specification</i> requires archival storage areas and facilities to be designed, maintained and used in accordance with the requirements of this Act
<i>Public Records Act 1973</i>	<ul style="list-style-type: none"> Gives the Minister responsible for the Act the right to nominate approved facilities for the storage of public records Outlines the responsibilities of the Keeper of Public Records Governs the management of public records, including provisions to close records to public access

Table 1: Key Victorian Government Legislation Relevant to Storing and Managing State Archives

Action required

The risk assessment should provide the organisation with an understanding of what work is needed for certification to be achieved. This may include (but is not limited) to the following:

- Locating the POD repository in an area of low risk (examples of high risk areas include flood sites, bushfire zones, towers, tin sheds and shipping containers)
- Separating office areas from archival storage areas
- Dedicating archival storage areas to records
- Installing temperature and humidity controls and maintaining at acceptable levels
- Appropriate shelving and handling equipment
- Provision of training to relevant staff in conservation and handling practices
- Obtaining staff with the appropriate records management skills and knowledge
- Gaining an understanding of what is required to identify and register State Archives in the PROV Archival Control System
- Installing intruder detection devices
- Developing an ongoing maintenance programme

- Developing a disaster preparedness, management and recovery programme⁴.

Managerial support

The support of decision makers is essential for a successful POD repository for State Archives. The information gathered may help to prepare a plan of what is required and what resources are needed. For example, it may be used to prepare a business case⁵ supporting a proposal for developing and running a POD repository. Relevant information can then be provided to management in order to obtain a decision on whether or not to go ahead with the certification.

3.2. Step Two: Obtain Authorisation

If the decision is made to go ahead with certification, a formal request to become a POD repository for State Archives will need to be made. This involves formally communicating with PROV the desire to become a POD repository to hold State Archives.

The information that PROV will need to know includes (but is not limited to) the following:

- Whether or not the facility is currently a POD for temporary records
- How well the proposed facility currently meets requirements in the *Storing and Managing State Archives Specification*
- How the ongoing funding required to operate and maintain a POD repository will be obtained
- The Victorian government agency or agencies that are involved in operating and maintaining the POD repository.

Early communication with PROV is essential to ensure the viability of the proposed POD repository before any additional money is spent. Anticipating certification and proceeding with building a facility could result in a waste of funds if there is a problem. For example, there may already be a POD repository in the area, or the organisation may have underestimated what is involved in running a POD repository and be unable to provide sufficient ongoing funding. Once an agreement between PROV and the organisation has been reached regarding the viability of the proposed POD repository, work can go ahead.

A formal contract or agreement will need to be drafted to capture the obligations and responsibilities of all parties involved in the POD repository, including PROV's role. This may include (but not be limited to) the following:

- The kinds of records that may be transferred to the POD repository
- Provision of free access to public records
- The right for the Keeper of Public Records to inspect the premises at any time, or remove public records from the POD repository considered to be at risk
- The type of support that will be provided by PROV
- The type of support that will be provided by the organisation operating the POD repository.

⁴ Information about disaster management is located on the Blue Shield Australia website at <<http://www.blueshieldaustralia.org.au/prevent.html>>.

⁵ For information about how to write a business case, please see PROV *Strategic Management Guideline 4: Writing a Business Case*.

The contract will not be executed until after the POD repository has successfully met the requirements of the *Storing and Managing State Archives Specification* and been authorised to be a POD repository for State Archives by the Keeper of Public Records.

3.3. Step Three: Plan Future Actions

Once authorisation has been obtained, any actions required to become a POD repository for State Archives will need to be identified and captured into strategic and business plans. The research conducted in step one will have provided a clear understanding of the current status of the proposed POD repository. Discussion with PROV representatives will have provided additional information regarding expectations and responsibilities.

If the proposed POD repository does not currently meet all requirements of the *Storing and Managing State Archives Specification*, actions needed may include (but not be limited to) the following:

- Undertake building works
- Improve security measures
- Implement PROV's Archival Control System
- Upgrade the skill level of existing staff members and identify additional skills required
- Develop required documents and programmes, such as disaster management
- Update the risk assessment in light of work undertaken.

There may be instances where the proposed POD repository cannot meet all requirements of the *Storing and Managing State Archives Specification*. If this situation occurs, contact PROV to discuss the situation. It may still be possible to become a POD repository for State Archives with caveats, such as a limit on what may be held by the POD repository. Alternatively there may be mitigation strategies that could be implemented to address concerns.

Capturing the actions required into strategic and business plans ensures that resources are provided and progress is monitored.

4. Assessing an Archival Storage Facility

The proposed POD repository will need to be formally inspected against the requirements of the *Storing and Managing State Archives Specification* by a PROV representative. To be authorised as a POD repository for State Archives, the facility will need to meet the requirements. This may be through:

- Provision of evidence that the requirements are met
- Provision of evidence that the majority of requirements are met, with mitigation strategies in place that reduce risks associated with not meeting the remaining requirements to 'low' (this may result in the certification of the POD repository with caveats).

Preparation for the formal inspection would involve a series of inspections, both internal and third party, to ensure that the facilities and systems are ready. This includes the collation of evidence needed to demonstrate compliance. Internal inspections can ensure that a disaster preparedness, management and recovery programme has been drafted, endorsed and is in place. External inspections can determine whether the building meets the Australian Building Code requirements, or that fire safety equipment is sufficient and in good working order.

The inspection process is to prepare for and undergo an inspection by an authorised PROV representative to determine whether the storage facilities are suitable to become a POD repository for State Archives. It consists of the following steps:

- **Step One: Preliminary Assessment.** Determine what is required for the inspection, set a day and time for the inspection and ensure that evidence required is prepared.
- **Step Two: PROV Inspection.** Document the inspection (inspection report completed by PROV representative), make adjustments recommended by PROV representative at the time of inspection (if needed) and completed inspection report submitted.
- **Step Three: Consolidation of Inspection Results.** Monitor the result of the inspection report and review situation if further adjustments are recommended.

When preparing for the formal inspection, remember that caveats may be issued if the proposed POD repository for State Archives meets the majority of requirements. For example, if the proposed POD repository meets all the requirements for hardcopy records but not for digital media, a caveat may be issued that certifies the POD for storing State Archives in hard copy format only. Keeping communications open with PROV will help with identifying if there is a possibility that a caveat is possible and what additional work (if any) may be required.

4.1. Step One: Preliminary Assessment

The review process should have resulted in the following:

- Completed risk assessment regarding how well the organisation currently meets the requirements of the *Storing and Managing State Archives Specification*
- Organisational agreement to commit ongoing funds and resources for the development and operation (including maintenance) of the POD repository should it go ahead
- Formal validation from PROV that the proposed POD repository is possible
- Work planned or begun to address any requirements not currently met.

This step covers the internal self inspections, third party inspections and remedial work required to ensure that the organisation is ready for the formal inspection by a PROV representative. This may be divided into the following three categories:

- Building works and maintenance
- Programme development and implementation
- Systems development and implementation.

Building works and maintenance

Building works and maintenance covers the facilities, shelving and other equipment needed to physically house the records (including fire safety equipment). For example, requirements six through to 20 relate specifically to the facilities used to store State Archives. Confirmation that these requirements have been met could be obtained through the inspection report of a building surveyor. Requirements relating to floor loading capacity and other aspects related to the structure of the facility should also be inspected by a building surveyor, structural engineer or someone else with appropriate qualifications. A report or certificate supplied by a relevant, qualified professional provides ample supporting evidence.

Requirements regarding maintenance works, such as the installation of an integrated pest management system, or air filters, may be addressed through contracts or service agreements with relevant service providers. Clauses may be used to ensure that specific requirements are addressed, and sufficient evidence supporting that the requirements have been met supplied. Such evidence may be a certificate of installation, inspection or service logs.

If the intention is for the facility to store digital media as well as hardcopy records, additional storage areas may be required to ensure that the needs of specific digital storage media are met. For example, a cold store may be needed or an area free of magnetic fields (depending on the needs of the specific media type).

Maintenance programme development

The maintenance programme may be part of the facilities management plan. In such instances, the maintenance programme will simply need to ensure that requirements for the storage of records are included in the facilities management plan.

Maintenance is an ongoing activity that is part of an organisation's routine operations. A maintenance programme unifies various processes so that storage of State Archives may be holistically managed.

The purpose of having a maintenance programme is to ensure that the room or building used to store State Archives is properly maintained so that the conditions required for storage do not deteriorate. A maintenance programme may cover four areas of maintenance:

- Routine maintenance (for example, regular cleaning)
- Preventative maintenance (for example, pest control or checking for cracks in the walls or ceiling)
- Responsive maintenance (for example, fixing faulty lights in a storage space upon receipt of a maintenance request)
- Long-term maintenance (for example, replacing the guttering or electrical wiring every ten years).

Details of what the programme covers may be documented in a maintenance plan, which may consist of the following components:

- Strategic direction statement or mission statement
- Risk assessment of the storage facilities
- Inventory of facilities and equipment, how often they need to be checked and by who
- Schedule of planned maintenance works
- Process for requesting unplanned maintenance
- Emergency management.

Disaster preparedness, management and recovery programme development

A disaster preparedness, management and recovery programme⁶ includes (but is not limited to) the following:

- Who is responsible for carrying out what actions
- Details regarding vital records (this may be in the form of a vital records register that includes the State Archives held, with information about the location and value of the records and prioritisation of what should be saved first in an emergency)
- Contact details of people required to handle an emergency
- Insurance details regarding cost of recovery and what should be prioritised
- Names and contact details of people from PROV and other bodies or companies that can be called to assist with management and recovery of a disaster
- Information on what records were stored where so that the extent of what has been lost can be quickly determined
- Details and location of disaster bins containing equipment and tools for use in an emergency situation.

A disaster bin is a container or room that has equipment and resources in it that may be needed in the immediate aftermath of a disaster.

⁶ Information on how to draft a disaster preparedness plan and other guidance is available from the *Blue Shield Australia website*.

For example:

- Mops, towels and buckets to soak up water in the event of a flood.
- Fire extinguishers, fire blankets and fire respirator masks in the event of a fire.

The contents will depend on the nature of the environment and the type of disaster anticipated as being likely. A disaster room is often better than a disaster bin as it provides space that can be used to sort through and assess the extent of damage to specific records. Additional resources may include a table to sort through records and assess damage and a fan to assist with drying wet records.

Systems development and implementation

Systems will need to be in place for tracking the movement and location of State Archives. As POD repositories will also be holding temporary records, a tracking system may already be in place. If so, checks will need to be made to ensure that such systems meet any security requirements. Some form of integration with PROV tracking systems may be required.

State Archives held in POD repositories will need to be intellectually controlled in accordance with *PROV's Archival Control Model*. This requires the description of the records to be captured in PROV's Access the Collection database in accordance with PROV procedures. People with archival qualifications or experience will be needed to undertake this work.

Discussion with a PROV representative of the systems required, including any options that might be available, is recommended prior to inspection and will provide a clear understanding of what needs to be developed.

4.2. Step Two: PROV Inspection

Before setting a date for the inspection, checks of the facilities to be used should be made to ensure that everything is prepared. This includes (but is not limited to) checks that the facility is located in an area of low risk and has appropriate:⁷

- Temperature and humidity controls installed
- Intruder detection devices
- Controls in place that monitor and restrict access
- Shelving and handling equipment
- Lighting
- Ventilation systems.

The inspection will be undertaken by a PROV representative and will result in the completion of an inspection report. Inspection involves:

- Checking the physical storage facility or storage area for compliance with the PROV *Storing and Managing State Archives Specification*;
- Inspecting the evidence provided by the organisation in support of meeting the requirements of the Specification

⁷ A full list of what is required is located in the PROV *Storing and Managing State Archives Specification*.

- Identifying any areas of non-compliance
- Determining whether the proposed POD for State Archives will be recommended, recommended with caveats, or not recommended to be certified.

The inspection report will document whether or not the requirements in the Specification have been met. This report will be completed by the PROV representative and a copy will be supplied to the organisation seeking to become a POD repository.

4.3. Step Three: Consolidation of Inspection Results

The inspection report will provide information on whether or not the requirements have been met.

If the requirements in the Specification have not been met, the inspection report will identify work that will need to be completed for the proposed POD repository to be certified. A further inspection to check that work has been completed may be needed if certification is to be granted. Time periods may be assigned to the completion of specific tasks.

If the inspection was successful, the inspection report will recommend that the proposed POD repository be certified by the Keeper of Public Records to hold State Archives. An agreement will need to be formalised between the proposed POD repository and PROV prior to the formal issue of a certification.

Once the inspection report is completed and has been submitted for endorsement there are a number of monitoring tasks that should be undertaken. These include (but are not limited to) the following:

- Maintain communication with PROV regarding the status of the certification
- Ensure that any additional work identified in the inspection report as being required for certification is undertaken and that any time periods specified are met
- Review the risk assessment in light of any changes made and to identify any new risks that will need to be mitigated.

5. Becoming a POD Repository

If the inspection resulted in the proposed POD repository being recommended to the Keeper for certification, agreement will be needed from the Keeper, contracts will need to be drawn up and the POD repository will need to be formally certified.

The certification process involves the issues of the certification of the POD repository by the Keeper of Public Records, and completion of a contract between the organisation or agency and PROV. It consists of the following steps:

- **Step One: Issue of Certification.** Receipt and communication of certification of the facility as a POD repository for State Archives.
- **Step Two: Contract Preparation.** Determine what is required for the contract, and who should sign it and discuss the requirements of the contract with relevant stakeholders.
- **Step Three: Contract Completion.** Draft and sign the contract.

5.1. Step One: Issue Certification

As mentioned earlier in this Guideline, the Minister of the Arts has the authority to certify a facility as being a POD. A facility seeking to become a POD repository for State Archives should already have been certified by the Minister as a POD and be authorised to house temporary records. Certification of a POD repository authorises the existing POD facility to also house State Archives.

The Keeper of Public Records has the authority to determine what kinds of records a POD will be permitted to hold. Whether a POD facility is authorised to hold records identified as being State Archives depends on the Keeper receiving a favourable inspection report (see section 4 above). Additional factors may include the number of existing POD repositories in the area and whether ongoing funding provided is considered sufficient to operate the POD repository. Early discussion with PROV at the review phase should have mitigated these factors.

Formal notification of the Keeper's decision is sent to the organisation managing and funding the proposed facility. The details of certification are captured in a contract between PROV and the organisation. Transfer of State Archives to the facility will not be permitted until after the contract has been executed.

5.2. Step Two: Contract Preparation

Early discussion with PROV is required to ensure clear understanding regarding what the contract will or should include. If multiple government agencies form the organisation that will be financing and managing the POD repository for State Archives, then the contract will most likely be drawn up by the Victorian Government Solicitor's Office (VGSO). Otherwise the contact may be drawn up by solicitors working on behalf of the organisation or PROV.

When thinking about what should be covered by the contract, consider the following:

- Roles and responsibilities of each party
- Duration of the appointment of the POD repository (usually five years)
- What happens if things go wrong and there is a breach of contract or the requirements of the Specification are no longer met
- Record types that may and may not be transferred to the POD repository for State Archives
- Any conditions associated with the certification to become a POD repository for State Archives as identified in the inspection report.

There will be a number of set clauses that will need to be included. The clauses will be based on (but are not limited to) the following:

- Access to records is to be free of charge
- The Keeper of Public Records can inspect the premises at any time
- Approval from the Keeper of Public Records is to be obtained before any records are transferred to the POD repository.

5.3. Step Three: Contract Completion

Once the content of the contract has been determined and agreed upon, the contract will be drafted and signed off by all parties.

Transfer of State Archives in accordance with the clauses of the contract may begin once the contract has been formally executed.

6. Maintaining POD Certification

Maintaining the POD repository certification ensures that re-certification of the facilities is easier and that the POD repository remains viable. This is because it ensures the programmes and services provided match those required by the terms of the contract and the requirements of the *Storing and Managing State Archives Specification*.

The maintenance process is to ensure that the requirements of certification as captured in the contract continue to be met by the POD Repository. It consists of the following steps:

- **Step One: Maintain Facilities.** Undertake regular inspection and monitoring activities to determine what actions need to be done in order to maintain the facilities in compliance with the terms of certification.
- **Step Two: Maintain Relationship with PROV.** Maintain communication with PROV to foster good working relations and improve archival practice.
- **Step Three: Identify & Manage Risks to Continuing Certification.** Use the inspection and monitoring processes to identify risks. Use the relationship with PROV to assist with the mitigation of risks.

As part of the certification, storage and maintenance programmes will have been put in place. Maintenance of the POD certification uses these programmes to ensure that compliance with the requirements for certification is maintained.

6.1. Step One: Maintain Facilities

Maintaining the facilities that were certified to hold State Archives ensures that re-certification of those facilities is easier to achieve. The inspection and monitoring required to address the requirements of the Specification can be used to ensure that the facilities are maintained and remain compliant.

The Specification identifies a number of monitoring and inspection tasks that need to be undertaken on a regular basis. Table two (below) provides a list of the monitoring and inspection activities from the *Storing and Managing State Archives Specification*. Each activity is linked to frequency and the suggested evidence and programme the activity may be part of. Where specific frequencies are not provided in the Specification, a recommended frequency has been suggested.

<i>Requirement Number & Description</i>	<i>Frequency</i>	<i>Suggested Evidence & Programme</i>
Requirement 5: Regular inspection against the Specification	Inspection every five years	Completed Pre-Inspection Checklist and Inspection report (as part of the storage programme)
Requirement 7, 16 and 39: Assessment to identify risks to records	Ongoing ; Annual assessment recommended	Risk assessment reports or risk register entries (as part of maintenance programme)
Requirement 10: Inspection of fire detection and protection systems and equipment against requirements of Building Code of Australia and relevant Australian Standards	Quarterly is recommended	Fire safety logs or inspection reports (as part of maintenance programme)
Requirement 19: Air intake is filtered to remove pollen and other pollutants	As per manufacturer's recommendations	Inspection logs (as part of maintenance programme)
Requirement 22: Containers used to store state archives are clean, in good condition and appropriate to record weight, size and format	Monthly is recommended	Inspection logs (as part of maintenance programme)
Requirement 23: Shelving is fit for purpose; that is, the recommendations of PRO 11/01 Storage Guideline 5: Shelving are addressed.	Monthly is recommended	Inspection logs (as part of maintenance programme)
Requirement 24 Integral pest management system is implemented and maintained and is as least toxic as possible.	Monthly is recommended	Inspection report (as part of maintenance programme)
Requirement 34: Security systems are installed, maintained, monitored and reviewed to ensure records in Archival storage areas and facilities have been protected from unauthorised access and destruction	Monthly is recommended	Inspection or access logs (as part of the storage programme)
Requirement 39: Maintenance of archival storage areas and facilities is actively monitored and identified maintenance issues are resolved in a timely manner.	Monthly is recommended	Inspection logs (as part of maintenance programme)

Table 2: Monitoring & Inspection Activities

6.2. Step Two: Maintain Relationship with PROV

The involvement of PROV with the POD repository for State Archives will depend on the detail of the contract. It may include archival work regarding documenting State Archives that are transferred to the POD repository, conservation or preservation work or provision of archival training to POD repository staff.

Maintaining the relationship with PROV may include (but not be limited to) the following tasks:

- Keeping communications with PROV open
- Using the PROV Archival Control System to manage the intellectual control of all State Archives held by the POD repository
- Hosting PROV training sessions.

By maintaining the relationship with PROV, a clearer understanding of how State Archives may be effectively managed can be obtained. This may be used to fine-tune procedures and practices to prepare for recertification.

6.3. Step Three: Identify & Manage Risks to Continuing Certification

Being able to manage risks to the organisation's ability to continue certification relies first on identifying them. The inspection and monitoring activities identified in step one can be used to identify potential risks to ongoing certification. Establish a process to identify potential risks to compliance and manage them as part of the organisation's risk management process.⁸ This enables risks to certification to be dealt with as part of the organisation's general risk management strategy.

Mitigating risks to ongoing certification will be easier if a relationship with PROV has been maintained as described in step two. PROV representatives may be able to offer useful advice on how to mitigate risks. For example, risks to the preservation of records may be prevented by improving practice in line with advice and training from PROV on appropriate boxing or handling practices.

Actively identifying and mitigating risks to ongoing certification against the *Storing and Managing State Archives Specification* will make the re-certification process easier. All that will be needed is to arrange for the inspection and renew the contracts.

⁸ For information on how to manage risks related to records, please refer to the PROV *Strategic Management Guideline 6: Records and Risk Management*.

7. References

Legislation

Health Records Act 2001 (Vic)

Information Privacy Act 2000 (Vic)

Occupational Health and Safety Act 2004 (Vic)

Public Records Act 1973 (Vic)

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

Other Resources

For more information about Places of Deposit, please contact:

Community Archives
Public Record Office Victoria
Ph: (03) 9348 5600
Fax: (03) 9348 5656
Email: agency.queries@prov.vic.gov.au
Web: www.prov.vic.gov.au

Appendix One: Places of Deposit Checklist

Review

Question	Yes	No	Unsure	Comments
Is the facility currently a POD for temporary records, as issued by the Minister under section 14 of the <i>Public Records Act 1973</i> ?				
Has a copy of the <i>Storing and Managing State Archives Specification</i> been obtained from PROV's website?				
Has a PROV representative been contacted regarding the possibility of setting up a POD repository for State Archives?				
Has a risk assessment been conducted against the requirements of the <i>Storing and Managing State Archives Specification</i> ?				
Have the results of the risk assessment been discussed with a representative from PROV?				
Have the costs of establishing and maintaining a POD repository been determined and ongoing financial support agreed?				
Have areas where the requirements of the <i>Storing and Managing State Archives Specification</i> have not been met been noted?				
Has a plan to address or mitigate areas of non compliance with the <i>Storing and Managing State Archives Specification</i> been developed?				

Inspection

<i>Question</i>	<i>Yes</i>	<i>No</i>	<i>Unsure</i>	<i>Comments</i>
Has a preliminary inspection of the building works and maintenance required for certification been conducted?				
Has a maintenance programme been developed and implemented?				
Has a disaster preparedness, management and recovery programme been developed and implemented?				
Has an understanding of the PROV archival control model been obtained?				
Has the PROV archival control system been put into place?				
Has a date for the PROV inspection of the proposed POD repository been arranged?				
Has the evidence needed to support certification been collated?				
Have risks to successfully achieving certification been identified and mitigated?				

Certification

Question	Yes	No	Unsure	Comments
Has the PROV inspection been successfully completed?				
Has formal notification regarding successful completion of the inspection and certification by the Keeper been obtained?				
Has a contract between the relevant parties (including PROV) been drawn up?				
Does the contract include the roles and responsibilities of all parties?				
Does the contract include the duration of the appointment of the POD repository?				
Does the contract include clauses covering what will happen if the certification lapses or if a breach occurs?				
Does the contract identify what types of records may be transferred to the POD repository?				
Does the contract identify what types of records may not be transferred to the POD repository?				
Does the contract include any conditions associated with certification that the POD repository will need to abide by?				
Has the contract been signed off by all parties?				

Maintenance

Question	Yes	No	Unsure	Comments
Have inspection and monitoring activities required to comply with the <i>Storing and Managing State Archives Specification</i> been implemented?				
Have the inspection and monitoring activities required to comply with the <i>Storing and Managing State Archives Specification</i> been linked to routine processes as part of the storage or maintenance programmes?				
Has the PROV archival control system been used to document State Archives transferred to the POD repository?				
Have PROV been consulted regarding possible training on preservation and archival practices?				
Have risks to continuing certification against the <i>Storing and Managing State Archives Specification</i> been identified?				
Have risks to continuing certification been managed as part of the organisation's risk management strategy?				
Has PROV been consulted on how risks to the preservation of State Archives may be mitigated?				
Have the risks to continuing certification identified been mitigated?				