

Agency Records Storage

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Acknowledgements

The Public Record Office Victoria would like to acknowledge the valuable contribution of all those who contributed to the development of this Specification.

Please note: *PROS 11/01 Specification 1 Agency Records Storage* was originally released in 2011 as part of *PROS 11/01 Specification 1 Agency Custody Storage*.

Version	Version Date	Details
1.0	22/02/2011	Released
1.2	31/07/2013	Copyright changed to Creative Commons license
2.0	08/07/2014	Removal of APROSS requirements to Specification 3. Revised in line with Recordkeeping Standards Continuous Improvement Programme
2.1	12/12/2014	Amended Relationship Diagram and associated references

1. Introduction

A planned and systematic approach to the storage of public records will benefit agencies by ensuring that the records within their custody are:

- Locatable (that is, the records are identifiable, their location is known, and they are retrievable)
- Secure from unauthorised access
- Preserved so that they may be used for the duration of their retention period.

Public records may be stored in storage areas or storage facilities. Storage areas are rooms, vaults, cupboards, compactus, and shelves whose primary purpose is to store public records. Storage facilities are buildings whose sole purpose is to store records. Agency storage refers to all storage facilities and areas that are managed by an agency. This does not include outsourced storage, such as records stored within an Approved Public Record Office Storage Supplier (APROSS) facility on behalf of an agency (see *PROS 11/01 S3 APROSS Specification*).

All records should be appraised before being placed in storage to determine the retention period and disposal action. This is to ensure that the records are managed properly whilst they are in storage by knowing:

- How long the records may be held in storage
- The services or resources that may be required when it is time to dispose of them.

For more information on disposal please refer to the [Disposal Standard](#).

Records held in storage need to be managed to ensure their ongoing preservation and accessibility for as long as they are required to be kept.

Once a record is no longer current, it ceases to be actively used and managed. This can have a detrimental effect on the record (especially for digital records) as the quality of a record that is not actively managed deteriorates rapidly. The information on records stored in poor conditions may well be lost and therefore not available when the agency requires it.

Different media or formats of records will require different conditions to ensure their preservation. Records may also need to be stored in different conditions depending on how long they need to be retained.

Higher levels of security classification assigned to records will impact on the level of security required for the facilities housing the records whilst in storage. This is to ensure that only those authorised to access them can do so.

1.1. Purpose

Public Record Office Victoria Standards contain mandatory principles for the management of public records within Victoria. Standards issued by the Keeper of Public Records are supported by Specifications that contain the measurable, mandatory requirements that agencies must comply with in order to meet the principles.

This Specification provides a detailed set of requirements which define the criteria for the implementation of the Storage Standard by Victorian government agencies.

The implementation of the requirements within this Specification by Victorian government agencies will enable effective management of storage activities, including:

- Undertaking the appropriate authorisation process for storage areas and facilities
- Inspection of storage areas, facilities and records in storage as part of an ongoing monitoring process
- Conducting risk assessment and mitigation to ensure that storage areas and facilities are in appropriate locations and constructed from materials to assist with the preservation of the records
- Ensuring that public records are stored in conditions that preserve them for the duration of their retention period
- Developing and implementing sufficient systems and procedures to facilitate effective and efficient identification and control of records in storage
- Ensuring that appropriate security measures are in place to protect the records
- Developing and implementing an ongoing maintenance programme
- Implementing an endorsed disaster preparedness, management and recovery programme.

Each requirement within this Specification is individually numbered under the appropriate principle. Examples of evidence that may be used to demonstrate principles have been met are given alongside the appropriate requirement.

Please note that agencies should determine the best available evidence to support their claims against each Specification requirement; the examples are suggestions only.

1.2. Scope

This Specification repeats principles from the [Storage Standard](#). For more information on these principles, including explanation of why they are needed, please refer to the [Storage Standard](#).

This Specification covers the activities associated with storage of public records (in digital and hardcopy formats) in agency custody across the Victorian Government when the storage facilities or areas are managed by the agency. Requirements for the storage of public records in outsourced facilities (APROSS) are detailed in the *APROSS Storage Specification* (PROS 11/01 S3). Requirements for the management and archival storage of State Archives are detailed in the *Storing and Managing State Archives Specification* (PROS 11/01 S2).

Each requirement in this Specification is intended for Victorian Government agencies.

For definitions of terms used within this Specification, please refer to the [Storage Standard](#). For the complete list of definitions used for the Recordkeeping Standards please refer to the [Master Glossary](#).

Information about how to implement this Specification is found in the associated Guidelines: <http://prov.vic.gov.au/government/standards-and-policy/storage>.

1.3. Related Documents

This Specification supports the *Storage Standard* (PROS 11/01) and is supported by a number of Guidelines as shown in the following relationship diagram:

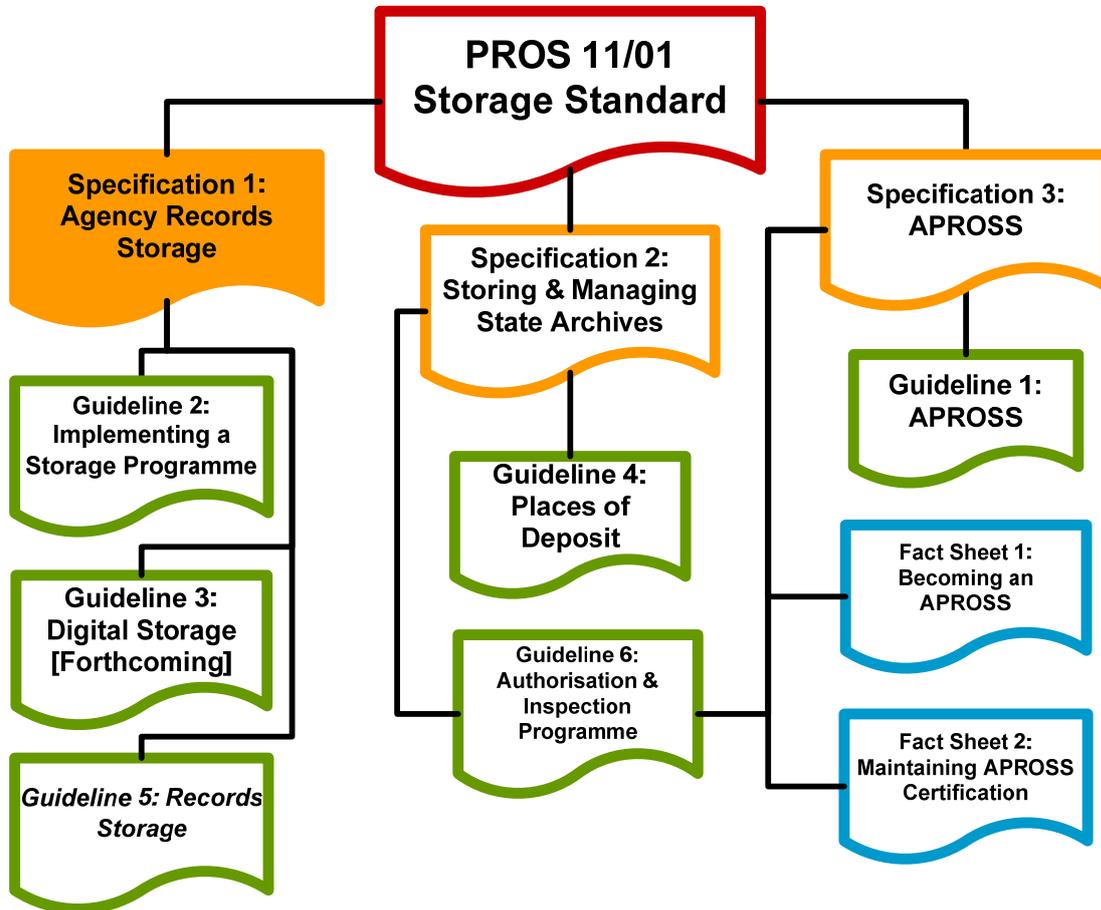


Figure 1: Relationship Diagram

2. Requirements

In this section, principles from the *Storage Standard* are provided in italics for easy reference. The tables below the principles list the mandatory requirements and examples of evidence for each requirement.

2.1. Authorisation

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

Requirement	Examples of Evidence
1. All agency records must be stored in compliant storage areas and facilities unless required to support ongoing business activities ¹ .	Assessment reports which certify that agency storage is compliant with this Specification Strategic plans which include actions to achieve compliance.
2. Commercial storage facilities used to store public records must have been appointed as an Approved Public Record Office Storage Supplier by PROV prior to the agency storing any public records within the facilities.	APROSS Certification issued by the Keeper of Public Records.
3. Unsentenced records must only be transferred to an APROSS facility once a plan is in place to sentence them within a specified time period. The plan must be approved by the agency and be available to a PROV representative upon request. ² .	Sentencing plan which details unsentenced records stored in an APROSS storage facility and a timeframe for them to be sentenced against a current Disposal Authority. Assessment reports which specify the types of public records being transferred to an APROSS.
4. Permanent records must only be stored in an APROSS if a plan to transfer the records within a specified time period to a State Archive storage facility has been approved by a PROV representative ³ .	Transfer plan which details permanent records stored in an APROSS and a timeframe for them to be transferred to PROV in accordance with a current Disposal Authority. Assessment reports which specify the types of public records being stored in an APROSS facility. Correspondence from PROV approving transfer plan.

Further Information

For information about sentencing please see the *PROS 10/13 Disposal Standard* and associated documentation: <http://prov.vic.gov.au/government/standards-and-policy/disposal>.

¹ For example, when sending records out to be digitised or when records are required to be provided to legal offices or courts.

² See form PRO 41 Request for Approval of Sentencing Plan <<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pro-41>>

³ See form PRO 42 Request for Approval of Transfer Plan <<http://prov.vic.gov.au/government/standards-and-policy/all-documents/pro-42>>

2.2. Inspection

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

Requirement	Examples of Evidence
<p>5. Storage areas and facilities must be evaluated against this Specification, with actions needed to address any requirements not met identified and incorporated into the agency's strategic plans.</p>	<p>Evaluations reports which detail the results of compliance inspections.</p> <p>Technology strategy or policy which includes a programme of compliance inspections of digital record storage areas and facilities, including agency or shared services server rooms.</p> <p>Plans to remedy areas of non-compliance and reports regarding the progress of actions required to achieve compliance.</p> <p>PROV inspection report (PROV inspections are undertaken the discretion of the Keeper of Public Records).</p>
<p>6. A report of compliance against this specification must be endorsed by a senior agency executive and be made available to a PROV representative upon request.</p>	<p>Correspondence from a senior executive endorsing assessment reports.</p> <p>Inspection reports indicating continued compliance with this Specification.</p>
<p>7. Agencies must inspect and evaluate their storage areas or facilities every five years and after any major changes that affect the storage of public records:</p>	<p>Storage plan, records management strategy or policy which includes a programme of compliance inspections of record storage areas and facilities.</p> <p>Examples of major change that affect storage of public records are:</p> <ul style="list-style-type: none"> - The planning and establishment of new storage areas or facilities - Relocation to new storage areas or facilities - The issue of a new or significantly revised PROV agency storage specification

Further Information

More information about how to implement this Specification is found in the associated Guidelines: <http://prov.vic.gov.au/government/standards-and-policy/storage>.

2.3. Location & Construction

Principle: Public records must be stored in areas which are located away from known and unacceptable risks.

Requirement	Examples of Evidence
<p>8. An assessment must be undertaken to identify risks posed by the buildings, building services and equipment used for records storage to the records or to the staff managing the records.</p>	<p>Risk assessment reports which identify and evaluate risks to agency storage and how they will be managed; in particular:</p> <ul style="list-style-type: none"> - Hazards - Risk management systems - Construction - Essential services - Building services and equipment - Security - Public safety. <p>Organisational risk management framework and risk registers.</p>
<p>9. All risks identified by Requirement 8 must be recorded within the organisational risk register, be reviewed on an annual basis and be mitigated in accordance with agency approved risk mitigation strategies and plans.</p>	<p>Risk mitigation plans and strategies.</p> <p>Organisational risk management framework and risk registers.</p>
<p>10. Agency owned or leased storage facilities must be assessed as being compliant with the Building Code of Australia and associated codes.</p>	<p>Certificate of occupancy.</p>
<p>11. Storage areas and facilities must have in place appropriate and comprehensive fire detection and protection systems and equipment, in compliance with the Building Code of Australia and Australian Standards.</p>	<p>Fire safety logs or inspection reports showing that fire suppressions systems and extinguishers, hose reels and hydrants meet the requirements of Part E of the Building Code of Australia.</p> <p>Fire system maintenance and inspection logs.</p>
<p>12. Storage areas and facilities must have sufficient floor loading capacity to safely support the maximum volume of records, their containers and any furnishings or equipment.</p>	<p>Structural engineers report.</p> <p>Shelving contractor's advice indicating that installed shelving does not exceed limits.</p>
<p>13. Shelving must be fit for purpose.</p>	<p>Documents supporting why particular shelving was purchased.</p> <p>Procurement documents, business case.</p>

Further Information

Further information on Location and Construction is located in Guideline *PROS 11/01 G5: Records Storage*.

2.4. Preservation and Safety

Principle: Public records must be stored in conditions that ensure their preservation for as long as the records are required, and the safety of the people handling the records.

Requirement	Examples of Evidence
<p>14. An assessment must be undertaken to identify risks to the preservation of the records and safety of the staff managing the records.</p>	<p>Risk assessment reports which identify and evaluate risks to record storage areas and facilities and how they will be mitigated, including:</p> <ul style="list-style-type: none"> - Long term preservation - Conservation - Disaster management recovery - Shelving - Work practices. <p>Organisations risk management framework and risk registers.</p>
<p>15. All risks identified by Requirement 14 must be recorded within the organisational risk register, be reviewed on an annual basis and be mitigated in accordance with agency approved risk mitigation strategies and plans.</p>	<p>Risk mitigation plans and strategies.</p> <p>Organisations risk management framework and risk registers.</p>
<p>16. Agencies must not allow permanent records or long-term temporary records to become damaged or unusable during their retention period, as a result of the prevailing or fluctuating environmental conditions in storage areas or facilities.</p>	<p>Risk assessment and management, including initial assessment of storage conditions and scheduled periodic reviews.</p>
<p>17. Staff members responsible for handling records within archive storage areas and facilities must have received training in safe manual handling practices to minimise risk of injury and of causing damage to records.</p>	<p>Training programme which covers safe manual handling practices and is appropriate. For example, the training is provided annually, as part of any induction programme, and before commencing work, and directly relates to the working environment.</p> <p>Staff training records which demonstrate that all relevant staff have received training in safe manual handling practices.</p>
<p>18. Records in danger of becoming unusable during their retention period must be treated by a professional conservator.</p>	<p>Qualifications and other documentation showing the conservator used is a professional conservator</p>
<p>19. Record storage areas, facilities and equipment must meet identified work health and safety needs and be supported by safe work practices.</p>	<p>Review reports, remedial action plans and status reports supporting assessment follow up processes.</p>

Further Information

Further information on preservation and safety is located in *Guideline PROS 11/01 G5: Records Storage*.

2.5. Identification and Control

Principle: Public records must be stored using systems that enable the records to be retrievable.

Requirement	Examples of Evidence
<p>20. Responsibility for the identification and control of records must be assigned to staff with the appropriate skills and competence in records management.</p>	<p>Policy or delegations registers which assign responsibilities for the identification and control of records.</p> <p>Certificates of qualifications gained by staff.</p> <p>Position descriptions which include relevant records management responsibilities.</p> <p>Training programs which incorporate the development of skills and competencies.</p>
<p>21. Systems and metadata for the physical and intellectual control of public records within storage areas and facilities must be implemented to allow for effective management, identification, retrieval and tracking of records.</p>	<p>Storage plan which includes activities for the physical control of records.</p> <p>Assessment reports which cover the physical control of records.</p> <p>Clauses in contracts and service level agreements that require the movement and location of records to be tracked.</p> <p>System manuals which detail the physical control of records.</p>
<p>22. Identification, control, retrieval, handling and return of records must be undertaken by those authorised to access them in accordance with agency approved policy, process and procedures.</p>	<p>Approved policy, process and procedural documents.</p>

Further Information

Further information on Identification and Control is located in *Guideline PROS 11/01 G5: Records Storage*.

More information about tracking and metadata are located in the *PROS 11/09 Control Standard* and associated documentation: <http://prov.vic.gov.au/government/standards-and-policy/control>.

2.6. Security

Principle: Public records must be protected from theft, loss, misuse and inappropriate or unauthorised access or modification, whilst they are being stored, or in transit to and from a storage facility or area.

Requirement	Examples of Evidence
23. Records that carry security classifications must be handled and stored in compliance with the requirements of the classification.	<p>Storage plans and assessment reports which include details of appropriate handling and storage of security classified records.</p> <p>Information security procedures which detail how to store information with different security classifications.</p> <p>Procedures for transportation of records.</p>
24. Access to public records in storage areas or facilities or in transit must be controlled, monitored and restricted to authorised staff with security breaches reported to the appropriate authority.	<p>Storage plan which includes details of storage area and facility access monitoring and reporting (for example, sensors on external doors including roller doors; motion detection; monitored alarm systems; controlled building access; and security cameras).</p> <p>Access logs which record all authorised entry to storage areas and facilities.</p> <p>Inspection logs which demonstrate that security measures are working correctly.</p> <p>Incident reports regarding any unauthorised access to storage areas and facilities.</p>

Further Information

Further information on records storage and security is located in Guideline [PROS 11/01 G5: Records Storage](#).

2.7. Maintenance

Principle: A maintenance programme, including regular inspection, review and monitoring, must be in place for all areas and facilities that store public records.

Requirement	Examples of Evidence
25. Maintenance of storage areas and facilities must be actively monitored and identified maintenance issues resolved in a timely manner.	<p>Maintenance programme for storage areas and facilities which details activities to be undertaken to mitigate risks to the security and preservation of public records (for example, upgrading hardware and software).</p> <p>Risk register which includes entries regarding risks to storage areas and facilities.</p>
26. Software and systems used to store digital records must be supported and maintained by people with the appropriate skills and competencies.	<p>Records management or ICT policy which requires computer systems to be supported and maintained.</p> <p>Service level agreements or maintenance and support contracts for computer systems which are current.</p>

Further Information

Further information on maintenance is located in Guideline *PROS 11/01 G5: Records Storage*.

2.8. Business Continuity, Disaster Prevention and Recovery

Principle: An up-to-date disaster preparedness, management and recovery programme must be in place for all areas and facilities that store public records.

Requirement	Examples of Evidence
<p>27. A disaster preparedness, management and recovery programme for public records within agency owned or managed storage areas and facilities must be:</p> <ul style="list-style-type: none"> - Developed - Implemented - Tested in accordance with programme requirements and timeframes - Updated based on the outcomes of the test. 	<p>Disaster preparedness, management and recovery plan which defines responsibilities and includes a vital records register (identifying records required to ensure continuing business operations), copies of the agency's current certificate of insurance, and contact details of specialist disaster recovery companies.</p> <p>Business Continuity Plan (BCP) documenting how the agency will recover from a disaster event and maintain continuity of service</p> <p>Procedures regarding the update of risk logs, mitigation strategies, and the disaster management plan as part of the recovery process.</p> <p>Reports outlining the results of test exercises, drills or simulated disasters.</p>
<p>28. Records in agency storage must be insured for recovery and restoration in the event of a disaster.</p>	<p>Disaster management plan includes agency insurance policy details, insurance coverage for record recovery and restoration activities and claims procedures.</p> <p>Copies of agency or courier certificates of insurance.</p>
<p>29. Records identified by the agency as being vital must be provided with adequate protection from disasters or be duplicated and stored in two physically distinct sites.</p>	<p>Records management, ICT or risk management strategies which include strategies for the protection of vital records.</p> <p>Disaster preparedness, management and recovery plan which includes measures for the protection of vital records.</p> <p>Vital records register which identifies all records required to ensure continuing business operations.</p>

Further Information

Further information on business continuity, disaster preparedness and management is located in Guideline *PROS 11/01 G5: Records Storage*.

3. References

Legislation

Occupational Health and Safety Act 2004 (Vic)

Public Records Act 1973 (Vic)

Information Privacy Act 2000 (Vic)

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

Standards

Archives New Zealand (ANZ) 2007, *Recordkeeping Standard S2: Standard for the Storage of Records and Archives*, ANZ Wellington, New Zealand, viewed 16 January 2014, <<http://archives.govt.nz/s2-storage-standard>>.

International Organization for Standardization 2003, ISO 11799 Information and documentation – Document storage requirements for archive and library materials, ISO, Geneva, Switzerland.

National Archives of Australia (NAA) 2002, *Standard for the Physical Storage of Commonwealth Records*, NAA, Canberra, ACT, viewed 16 August 2013. <http://www.naa.gov.au/Images/standard_tcm16-47305.pdf>.

Standards Australia 2004, AS/NZS ISO 5127 Australian / New Zealand standard on information and documentation – Vocabulary, Standards Australia, Sydney.

Standards Australia 2002, AS ISO 15489 Australian standard on records management, Standards Australia, Sydney.

Standards Australia 1996, AS 4390-6 Australian standard on records management: Part 6 Storage [Withdrawn], Standards Australia, Homebush.

State Records Authority New South Wales (SRNSW) 2000, *Standard on the Physical Storage of State Records*, SRNSW Sydney, viewed 3 June 2014, <<http://www.records.nsw.gov.au/recordkeeping/rules/standards/physical-storage>>.

State Records Commission of Western Australia (SRCWA) 2008, *SRC Standard 7: Storage of State Archives Retained by State Organisations through an approved Recordkeeping Plan*, SRCWA Perth, viewed 16 January 2014, <http://www.sro.wa.gov.au/sites/default/files/src_standard_7.pdf>.

Territory Records Office Australian Capital Territory (TROACT) 2008, *Territory Records Standard for Records Management Number 7: Physical Storage of Records*, TROACT Canberra, viewed 16 January 2014, <<http://www.legislation.act.gov.au/ni/2008-436/default.asp>>.

Other Resources

Bettington, J, Eberhard, K, Loo, R & Smith, C eds 2008, *Keeping archives*, 3rd edn, Australian Society of Archivists, Canberra.

CAARA 2007, *Recordkeeping issues associated with Outsourcing and Privatisation of Government Functions*, CAARA, Canberra, viewed 16 January 2014, <<http://www.caara.org.au/index.php/policy-statements/recordkeeping-issues-associated-with-outsourcing-and-privatisation-of-government-functions/>>.

Collections Australia Network (CAN) 2002, Guidelines for Environmental Control of Cultural Institutions, CAN, Haymarket, NSW, viewed 16 August 2013, <http://www.collectionsaustralia.net/sector_info_item/13>.

Ling, Ted 1998, *Solid, safe, secure: Building archives repositories in Australia*, National Archives of Australia, Canberra.

Melbourne Water 2012, *Planning for Sea Level Rise*, Melbourne Water, East Melbourne, viewed 16 January 2014 <<http://www.melbournewater.com.au/Planning-and-building/Forms-guidelines-and-standard-drawings/Documents/Planning-for-sea-level-rise-guidelines.pdf>>.

State Records of South Australia (SRSA) 2011, *Onsite Storage of Temporary Value Records*, SRSA Adelaide, viewed 16 January 2014, <http://www.archives.sa.gov.au/files/management_temporaryrecords_onsite.pdf>.

Tasmanian Archives and Heritage Office (TAHO) 2005, *State Records Guideline No. 11: Physical Storage of State Records*, TAHO Hobart, viewed 16 January 2014, <http://www.linc.tas.gov.au/__data/assets/pdf_file/0003/334974/State_Records_Guideline_No_11.pdf>.

Tasmanian Archives and Heritage Office (TAHO) 2005, *State Records Guideline No. 13: Certification for Secondary Storage Providers*, TAHO Hobart, viewed 16 January 2014, <http://www.linc.tas.gov.au/__data/assets/pdf_file/0010/393535/CENTRAL-1702573-v3-State_Records_Guideline_No_13_-_Certification_for_secondary_storage_providers.pdf>.

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

Government Services
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 1: List of ISO Storage Standards

The list below is not exhaustive but covers the most common media types at the time of publishing. Agencies must identify all media types they use to determine which ISO storage standards will be of relevance. The International Organization for Standardization may have additional standards covering other media types of relevance.

The following ISO standards are available for viewing at the Victorian Archives Centre Reading Room. Please contact *SAI Global Limited* to obtain copies of ISO standards.

Magnetic Tape

International Organization for Standardization 2000, *ISO 18923 Imaging materials - Polyester-base magnetic tape - Storage practices*, ISO, Geneva, Switzerland.

Multiple Media

International Organization for Standardization 2011, *ISO 18934 Imaging materials - Multiple media archives - Storage environment*, ISO, Geneva, Switzerland.

Optical Disc

International Organization for Standardization 2013, *ISO 18925 Imaging materials - Optical disc media - Storage practices*, ISO, Geneva, Switzerland.

Paper & Parchment

International Organization for Standardization 2003, *ISO 11799 Information and documentation - Document storage requirements for archive and library materials*, ISO, Geneva, Switzerland.

Photographic Film

International Organization for Standardization 2013, *ISO 18928 Imaging materials - Unprocessed photographic films and papers - Storage practices*, ISO, Geneva, Switzerland.

International Organization for Standardization 2011, *ISO 18920 Imaging materials - Reflection prints - Storage practices*, ISO, Geneva, Switzerland.

International Organization for Standardization 2000, *ISO 18918 Imaging materials - Processed photographic plates - Storage practices*, ISO, Geneva, Switzerland.

International Organization for Standardization 2010, *ISO 18911 Imaging materials - Processed safety photographic films - Storage practices*, ISO, Geneva, Switzerland.