# Introduction

## Purpose

The following procedure and inspection report is used by Public Record Office Victoria (PROV) staff during a site inspection of an established APROSS. It is used to ensure compliance with *PROS 20/02 S1 APROSS Specification* and to guide an inspection to areas of the facility that may have changed in the years since their last inspection. The report will assist a PROV staff member to recommend reappointment by the Keeper or to flag areas of concern that may be addressed before reappointment.

## Scope

This procedure & inspection report is used:

* At the 10 year site inspection for an established APROSS facility
* If an ad-hoc / emergency site inspection is required for an established APROSS facility.

The procedure & inspection report is not used for:

* The establishment of a new APROSS facility
* Any other off site storage site inspections (e.g., Places of Deposit).

# Process overview

## Procedure overview

* This document is a record of the decision whether to reappoint an APROSS facility. Care should be taken to ensure anyone could read this document in years to come and have a good understanding of the condition of the facility when it was physically inspected.
* Before inspection, facilities are required to provide documentary evidence that they are meeting *PROS 20/02 S1 APROSS Specification* (See Appendix 1 for examples of evidence). This documentation should be reviewed before an inspection to flag any potential non-compliance areas that require specific examination.
* Photographs may be attached to supplement evidence as required, especially if a question has prompted the need for further details. For example, photographs of fire control compliance stickers and up to date maintenance logs would show compliance with the standard.
* A copy of *PROS 20/02 S1 APROSS Specification* is included with this document to assist in making decisions of compliance.
* While most of the inspection report could be completed during the inspection any difficult decisions could be made later. Photographs / video could be taken and discussed with other PROV staff to help make a decision to reappoint.

## Site Inspection

|  |  |
| --- | --- |
| **NAME OF APROSS FACILITY:** |  |
| **PHYSICAL ADDRESS OF APROSS FACILITY:** |  |
| **DATE OF INSPECTION:** |  |
| **PROV STAFF UNDERTAKING INSPECTION:** |  |
| **APROSS STAFF ATTENDING INSPECTION:** |  |
| **APROSS STAFF CONTACT DETAILS:** |  |

1. Since the last site inspection has the facility had to enact their disaster recovery plan? **YES / NO** Please provide details:

|  |
| --- |
|  |

1. Is a current business continuity plan in place and reviewed annually? **YES/NO** Please provide details:

|  |
| --- |
| Note: *This plan should be sighted during inspection and last revision noted here* |

1. Is a risk register maintained and reviewed annually? **YES/NO** Please provide details:

|  |
| --- |
| Note: *This register and any other internal risk assessment reports should be sighted during inspection* |

1. Since the last site inspection have there been any security breaches (physical or digital)?   
   **YES / NO** Please provide details:

|  |
| --- |
| Note: *What was the outcome of the breach and what steps have been taken to mitigate future attempts?* |

1. Are the APROSS representatives able to provide assurance that the facilities fire detection and suppression systems comply with the Building Code of Australia and relevant standards and that routine maintenance is undertaken by registered practitioners? **YES / NO** Please provide details:

|  |
| --- |
| Note: *What assurances have the APROSS representatives been able to give?* *During inspection make note of visible fire suppression equipment (eg, sprinkler system, gas suppression, fire extinguishers). Sight maintenance documentation during inspection.* |

1. Is an integrated pest management system established and maintained? **YES/NO** If NO please provide details:

|  |
| --- |
| Note: *During inspection make note of visible pest management (eg. Rodent bait stations, insect traps). Is the facility regularly fumigated? Make note of pest inspection logs.* |

1. Since initial appointment have there been any structural changes to the facility? **YES/NO**  Please provide details:

|  |
| --- |
|  |

1. Is the facility free-standing and operating as single-purpose storage[[1]](#footnote-1)? **YES / NO** Please provide details:

|  |
| --- |
|  |

1. Are records physically stored separately from office hubs such as toilets and kitchens? **YES/NO** Please provide details:

|  |
| --- |
|  |

1. Is the APROSS representative able to provide assurance that shelving / racking[[2]](#footnote-2) and handling equipment are suitable for the weight, size and dimensions of the records? **YES/NO** Please provide details:

|  |
| --- |
| Note: What assurance did the APROSS representative provide? *Shelving and racking should have weight limits listed on the shelves.* |

1. Is effective retrieval and tracking software in place to ensure records are retrieved promptly? Are there systems in place to track and report on records moving between the facility and the responsible public office? **YES/NO** Please provide details:

|  |
| --- |
| *Note: Sight an example of a tracking report during inspection* |

1. Is the APROSS representative able to provide assurance that appropriate security systems are installed, maintained, and reviewed to ensure records are protected from unauthorised access? **YES/NO** Please provide details:

|  |
| --- |
| Note: *What assurance does the APROSS representative provide? What evidence of this is provided – for example can you see alarms, have you sighted security system testing and maintenance records?* |

1. How do you ensure that records being transferred to a public office are protected from loss, accidental destruction or misuse during transit? **YES/NO** Please provide details:

|  |
| --- |
|  |

1. How do you ensure that records are not accidentally destroyed? **YES/NO** Please provide details:

|  |
| --- |
| *Note: Capture details of how records management software is used to track records and destruction dates* |

1. Overall is the facility clean, maintained, kept at an appropriate temperature, well-lit with storage boxes in good condition? **YES/NO** Please provide details:

|  |
| --- |
|  |

1. Were there any occupational health and safety (OH&S) or other concerns during the inspection that may have an impact on stored public records? **YES / NO** Please provide details:

|  |
| --- |
|  |

## Inspection Report

1. General thoughts on the condition of the facility:

|  |
| --- |
|  |

1. Are there any non-compliance issues with *PROS 20/02* *S1 APROSS Specification* that would prevent APROSS recertification?

|  |
| --- |
|  |

1. Are there any minor issues that require follow-up but do not prevent APROSS recertification? Please list who / when these will be actioned by.

|  |
| --- |
|  |

1. After inspection does the facility meet the requirements of *PROS 20/02* and should be receive APROSS recertification? **YES / NO** if NO what are the suggested next steps?

|  |
| --- |
|  |

APPENDIX 1 – Supporting documentation

The following examples of documentation may be requested to support recertification pre inspection. Some documentation may be confidential (e.g., security system layout) and it would be inappropriate for PROV to keep copies. In these cases the documentation may be viewed during the site inspection to confirm its content.

Not every APROSS facility will have all the following records. However, they should be able to produce enough evidence that will show compliance with the standard which is confirmed during the site inspection.

**Disaster Preparedness**

* Internal risk assessment register and reports
* Business continuity plan
* 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.
* Procedures regarding the update of risk logs, mitigation strategies, and the disaster management plan as part of the recovery process.
* Reports outlining the results of test exercises, drills or simulated disasters.
* Disaster management plan includes agency insurance policy details, insurance coverage for record recovery and restoration activities and claims procedures.
* Copies of agency or courier certificates of insurance.
* Fire safety logs or inspection reports showing that smoke detectors meet requirements of AS 1670 and fire extinguishers, hose reels and hydrants meet the requirements of Part E of the Building Code of Australia.
* Disaster bin content lists and inspection checklists.
* Pest management and fire servicing logs which demonstrate that checks have been performed.
* **Building Structure and Maintenance**
* Contract with an APROSS which includes clauses regarding monitoring and maintenance of facilities.
* Maintenance programme for storage areas and facilities which details activities to be undertaken to mitigate risks to the security and preservation of public records (e.g., clearing gutters, upgrading hardware and software).
* Certificates of occupancy specifying floor loading capacity
* Structural engineer’s reports confirming sufficient floor loading when at full capacity
* Inspection logs which demonstrate that shelving and handling equipment have been regularly checked and maintained.
* Inspection reports demonstrating shelving and handling equipment are being used appropriately
* programme of regular cleaning and maintenance.

**Security**

* Clauses in contracts and service level agreements that require the movement and location of records to be tracked.
* ICT security and access control model which includes details of network and computer security controls to protect digital records from viruses and unauthorised access.
* Inspection logs which demonstrate that security measures are working correctly.
* Storage plan which includes details of storage area and facility access monitoring and reporting (e.g., sensors on external doors including roller doors; motion detection; monitored alarm systems; controlled building access; and security cameras).
* Access logs which record all authorised entry to storage areas and facilities.
* Incident reports regarding any unauthorised access to storage areas and facilities.
* Storage plans and assessment reports which include details of security measures implemented to protect records while in transit.
* Procedures which detail how to keep records secure during transfer (e.g., encrypting files, locking courier satchels).
* Contracts with ICT or transport suppliers which include appropriate security clauses.

**Record Management**

* Record storage policies and procedures
* Records management procedures for the retrieval, handling and returning of records in storage.
* Training program material for record management
* System manuals which detail the physical and intellectual control of records.

|  |  |  |  |
| --- | --- | --- | --- |
| Document Name | Comments (optional) | Sighted? | Copy received? |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Office Use Only:** If approved, forward internal memo recommending reappointment to Keeper along with new APROSS certificate. Forward signed certificate to APROSS facility.

APPENDIX 2 – PROS 20/02 S1 APROSS SPECIFICATION

Current Version: <https://prov.vic.gov.au/recordkeeping-government/document-library/pros2002s1-apross-specification>

End of Document

1. The single purpose of the facility must be the storage of records but can include the storage of similar formats such as papers or magazines. The single purpose can include areas for services which add value to record storage such as digitisation or process areas. The facility cannot be used to store any items which would place public records at risk (e.g. hazardous chemicals). [↑](#footnote-ref-1)
2. Shelving and racking should have weight limits listed on the shelves especially if forklifts are in use [↑](#footnote-ref-2)