

# Public Record Office Victoria

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## STORAGE STANDARD PROS 20/02

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This Standard sets out the principles and requirements that Victorian public offices must comply with in order to ensure that records are stored appropriately and under arrangements authorised by the Keeper of Public Records. This includes requirements for the storage of public records held in all formats, whether stored in-house or by an external host or provider.

The Storage Standard is comprised of the following areas:

- Authorisation
- Protection and security
- Survival as readable records
- Risk management
- Use of external storage providers

# Introduction

## Authority of 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 public offices to apply those Standards to records under their control.

Heads of public offices are responsible under section 13b of the *Public Records Act 1973* for carrying out a program of efficient management of public records. The program of records management needs to cover all records created by the public office, in all formats, media and systems across the organisation.

The Standards support the Victorian Electronic Record Strategy (VERS) Digital Forever 2018-2021<sup>1</sup>, which is designed to ensure the creation, capture and preservation of authentic, complete and meaningful digital records.

This Standard, as varied or amended from time to time, shall have effect for a period of ten (10) years from the date of issue unless revoked prior to that date.

## Obligation

It is mandatory for all Victorian public offices to follow the principles and comply with the requirements of the Standards issued by the Keeper.

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<sup>1</sup> The previous *PROS15/03 Standard for the encapsulation of digital records* has been revoked and the requirements have now been included in the *PROS19/05 Create, Capture and Control Standard* and associated Specifications.

# Approved storage for public records

Public offices must ensure the records they are responsible for are stored in accordance with the requirements of this Standard, irrespective of the formats or systems they are held in or whether their storage is managed in-house or by an external provider (i.e. cloud or software-as-a-service provider, commercial facility).

Storage arrangements for public records must be approved by the Keeper.

This Standard gives the Keeper's approval for the storage arrangements set out in the below table, if the conditions specified for each arrangement are met.

Storage arrangement	Conditions which must be met for the arrangements to be approved
<p>Digital record storage</p> <p><i>This includes storage of digital records in-house or externally via a contracted, hosted or shared service arrangement. External storage includes arrangements such as cloud and software-as-a-service.</i></p>	<p>Approved on condition that requirements in the following are met:</p> <ul style="list-style-type: none"> <li>• PROS 20/02 Storage Standard</li> </ul> <p>Records stored externally via a contracted, hosted or shared service arrangement remain in the custody and control of the head of the public office responsible for their management. Public offices must ensure that external contractors meet the requirements of this Standard.</p>
<p>Physical records storage in an area or facility managed by the public office</p> <p><i>This includes storage of physical records in leased or shared areas, as long as the storage is managed or co-managed by the public office.</i></p> <p><i>The storage can be in the office or in a storage area or facility.</i></p>	<p>Approved on condition that requirements in the following are met:</p> <ul style="list-style-type: none"> <li>• PROS 20/02 Storage Standard</li> </ul>
<p>Physical records storage in a facility NOT managed by the public office</p>	<p>Approved for the storage of certain categories of physical records if the facility has been appointed as an Approved Public Record Office Storage Supplier (APROSS) by the Keeper of Public Records under s12 of the <i>Public Records Act 1973</i>.</p> <p>To be appointed, the facility must be assessed by PROV as meeting the requirements of:</p> <ul style="list-style-type: none"> <li>• PROS 20/02 S1 APROSS Specification</li> </ul> <p>APROSS must provide PROV with information, documents and reports upon request and facilitate PROV monitoring and inspection activities.</p> <p>If an APROSS does not continue to meet PROV requirements, its appointment may be revoked.</p> <p>Records stored in an APROSS remain in the custody and control of the head of the public office responsible for their management. Public offices must ensure that APROSS are managing their records appropriately.</p>

Record storage in a Place of Deposit (POD) appointed by the Minister responsible for PROV

Approved for the storage of records if appointed as a POD by the Minister responsible for PROV and approved by the Keeper:

- as a Class A POD which can hold *State Archives (records of permanent value to the State)* and/or temporary value records
- as a Class B POD which can hold temporary value public records.

State Archives held in a Class A POD remain in the custody and control of the Keeper. To be approved as a Class A POD, an organisation must be assessed by PROV as meeting the requirements of:

- PROS 20/02 S2 Specification for Places Appointed to Store and Manage State Archives. (*To be developed*)

To be approved as a Class B POD, an organisation must meet:

- PROS 20/02 S3 Requirements for Places Appointed to Hold Public Records Not Required as State Archives. (*To be developed*)

If a POD does not continue to meet PROV requirements, its appointment may be revoked.

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## Inspecting and revoking approval

Under section 13a of the *Public Records Act 1973*, the Keeper or their delegate has the authority to inspect arrangements for the storage of public records to ensure they comply with PROV Standards and Specifications.

Arrangements for public records may be inspected, irrespective of the formats the records are held in (i.e. digital / physical formats etc.) or whether they are stored in-house or under an external or contacted arrangement. The inspection can include reviewing documentation such as agreements, plans, certificates, registers or logs.

Where storage arrangements do not meet PROV Standards and Specifications, the Keeper can require that actions be taken to address the non-compliance.

The Keeper may revoke approval for a storage arrangement if not satisfied:

- that it complies with PROV Standards and Specifications; or
- that non-compliance is being addressed by sufficient and timely actions.

# Principles & Requirements

## 1. AUTHORISATION

**PRINCIPLE: Public records, irrespective of format, are stored under arrangements authorised by the Keeper of Public Records\***

### REQUIREMENTS

1. Upon request, public offices must report to PROV on their storage arrangements and holdings, including those stored on their behalf by an external provider.
2. Upon request, public offices must provide PROV with access to premises and required documentation, when PROV are inspecting storage arrangements.

*\*See approved storage arrangements on page 3.*

## 2. PROTECTION AND SECURITY

**PRINCIPLE: Public records are stored so that they are protected from misuse, loss, deterioration or damage**

### REQUIREMENTS

1. Methods and arrangements for storing public records must ensure they are protected from misuse, including unauthorised access, sharing, alteration, destruction or theft. This includes when records are being transmitted, transported, migrated or converted.
2. Methods and arrangements for storing public records must ensure they are protected from loss, deterioration, degradation or damage.

For digital records this means:

- they must be created and maintained in formats which are expected to survive and be readable for their minimum required retention period
- suitable technologies (e.g. hardware, media) must be used for their storage and refreshed/replaced when appropriate
- they must be protected from interruptions, fluctuations or outages to power supplies
- effective backup and restoration arrangements must be established and maintained.

For physical devices storing digital records (e.g. servers, magnetic tapes, hard drives) this means:

- they must be stored in buildings and facilities which are soundly constructed, in accordance with the appropriate building codes
- storage areas and facilities must have effective fire detection and protection systems and equipment
- they must be stored in appropriate environmental conditions
- they must be protected from water, fire, mould, pests, dust
- they must be located away from known hazards (e.g. flood plains, chemical stores).

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For physical records this means:

- they must be stored in buildings and facilities which are soundly constructed, in accordance with the appropriate building codes
- storage areas and facilities must have effective fire detection and protection systems and equipment
- they must be stored in appropriate environmental conditions
- they must be protected from water, fire, mould, pests, dust
- they must be located away from known hazards (e.g. flood plains, chemical stores)
- appropriate equipment and techniques must be used to store, handle and transport them (e.g. shelving, containers, floor loading capacity, vehicles, trolleys).

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**3.** An effective maintenance program must be implemented, with issues rectified in a timely manner.

For digital records this means:

- storage systems and technology must be regularly tested to ensure they are functioning as expected, with issues rectified
- power supplies (and uninterruptable power supplies) must be maintained so that systems holding records are protected from surges, fluctuations or outages
- backup arrangements must be regularly tested and appropriately maintained
- when storage is refreshed or records are moved to different storage, care must be taken to ensure that the records and associated metadata are not lost or altered by the process. (for example by dates being inadvertently and automatically reset by the process).

For physical devices storing digital records (e.g. servers, magnetic tapes, hard drives) this means:

- storage media must be maintained and replaced when necessary, as part of a managed media update program
- storage areas and facilities must be properly maintained, with repairs carried out when necessary (e.g. roofs, air-conditioning, plumbing)
- fire detection and protection systems and equipment must be regularly checked and maintained, with any issues rectified
- racks and equipment must be properly maintained, with repairs and replacements carried out when necessary.

For physical records this means:

- storage areas and facilities must be properly maintained, with repairs carried out when necessary (e.g. roofs, air-conditioning, plumbing)
  - the storage environment must be regularly checked and maintained to ensure records remain dry and dust, pest and mould free
  - fire detection and protection systems and equipment must be regularly checked and maintained, with any issues rectified
  - shelving, equipment and storage containers must be properly maintained, with repairs and replacements carried out when necessary
  - checking records before placing them in storage and then at regular intervals to ensure they are not deteriorating or becoming damaged.
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### 3. SURVIVAL AS READABLE RECORDS

**PRINCIPLE: Public records are stored so that they are likely to survive and be readable for the minimum required retention period**

#### REQUIREMENTS

1. Public offices must ensure the records they are responsible for are stored using methods and arrangements which means they are likely to survive and be readable for their minimum required retention period.

2. Public offices must ensure the records they are responsible for are stored using methods and arrangements which mean they can be accessed within timeframes which will support obligations and needs.

For digital records this means using appropriate storage media / technology and service / back up / recovery arrangements, so that the records are protected and can be restored and made accessible within required timeframes. For example, by determining the storage tier or cloud service arrangements and server specifications which are necessary to meet needs and obligations.

Monitoring systems must alert to any errors or disconnection with the digital record.

Sufficient information must be created and retained to accurately identify the required records and access them. Backup and recovery methods and arrangements must enable records to be identified and accessible within required timeframes.

For physical records this means using appropriate storage facilities, locations and services, which will mean the records are protected and can be retrieved and accessed within required timeframes. For example, when selecting and fitting out a storage area, deciding whether to store records onsite or offsite or deciding whether to store records in an area or facility under public office control or with a commercial provider. Storage arrangements and services must ensure the public office is able to meet needs and obligations.

Sufficient information must be created and retained to identify the required records and their location. Storage arrangements must allow the records to be accessed within the required timeframe, without risk to either the records or people. Any movement of the records must be accurately tracked to ensure the current location is always recorded.

### 4. RISK MANAGEMENT

**PRINCIPLE: Risks to public records being stored are identified, assessed and managed effectively**

#### REQUIREMENTS

1. Public offices are responsible for monitoring storage arrangements for public records and identifying and rectifying any issues which place them at risk of loss, misuse, deterioration, damage or inaccessibility.

2. Public offices must ensure records and the systems, media and facilities in which they are stored are covered by business continuity and disaster recovery plans and processes.

3. Record holdings of significant value to the public office, the government or the public must be insured so that, in the event of a failure or disaster, the records can be restored or recovered where possible. Provision for this must be included in contracts or agreements with organisations storing records on behalf of the public office.

4. In cases where records are degraded or damaged, an assessment must be undertaken of their value and the impact of their loss, with commensurate efforts made to restore them.

## 5. USE OF EXTERNAL STORAGE PROVIDERS

**PRINCIPLE: Public offices remain responsible for public records stored by an external provider\***

### REQUIREMENTS

1. When public records will be stored with an external provider, public offices must ensure that contracts, agreements or arrangements are in place which will result in compliance with PROV Standards and Specifications.

Public offices must ensure that arrangements will result in ongoing compliance. For example, through contracts or agreements requiring the provider to regularly report on compliance and to remedy non-compliance within agreed timeframes.

2. Public offices can only store physical records in a facility managed by an external provider which has been certified as an Approved Public Record Office Storage Supplier (APROSS).

From the date this Standard is issued:

- public offices cannot move permanent value physical records to an APROSS. Exemptions to this may be granted by the Keeper of Public Records or their delegate. If an exemption is granted, the public office must comply with conditions set by PROV
- retention requirements must be determined before physical records can be moved to an APROSS.

For those physical records already held in an APROSS at the date this Standard is issued:

- public offices must develop a plan detailing the actions they will take to determine required retention periods for those holdings where this is not known. The plan must meet requirements specified by PROV, be approved by the head of the public office or their delegate and provided to PROV upon request
- public offices must develop plans to transfer to PROV those physical records held in commercial storage which are known or become known to have permanent value. The plan must meet requirements specified by PROV, be approved by the head of the public office or their delegate and provided to PROV upon request.

*\*Examples of an external provider are a hosted or contracted arrangement including cloud or software as a service, a shared service arrangement or an APROSS.*

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