

Major Changes in PROV's New PROS 20/02 Storage Standard

The new *PROS 20/02 Storage Standard* merges and replaces the:

- *PROS 11/01 Storage Standard*
- *PROS 11/01 Specification 1 Agency Records Storage*

Coverage

The new *PROS 20/02 Storage Standard* includes Principles and Requirements for digital records, physical records and devices storing digital records.

Where helpful, the Requirements in the new standard state what compliance would involve for each.

Note - The revoked Standard and Specification did not cover the storage of digital records. When they were developed in 2011 it was felt that other PROV Standards covered digital record storage sufficiently.

Records which can be Stored in an APROSS

There are some major changes in the new Standard to the categories of physical records which can be stored in an APROSS. These changes have been made because it has become apparent that massive quantities of physical records, including permanent value records and records where the required retention period is unknown, are held in APROSS indefinitely. PROV recognises the difficulties in obtaining resourcing for disposal projects so requires agencies to plan and undertake this work over time.

The new Standard states that:

Moving physical records to an APROSS after 19/12/2020

- 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.

Physical records already stored in an APROSS, as at 19/12/2020

- 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.

Note – PROV is developing instructions and requirements for the plans agencies must develop to manage the physical records already stored in APROSS.

Focus on Outcomes

The new Standard has a greater focus on outcomes, with less prescriptive detail about how agencies must meet those outcomes. This supports the underlying principle that records should be managed in accordance with their value, with greater attention and resourcing applied to those records with higher value.

For example, the revoked *PROS 11/01 S1 Agency Records Storage* stated that:

- 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.

The new Standard contains the following requirements instead:

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

Effective Contractual Arrangements with External Storage Providers

There is now a requirement that:

- 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 noncompliance within agreed timeframes.

This Requirement covers both digital and physical record formats. The contracts, agreements or arrangements need to ensure compliance with all relevant requirements from the PROV Standards, including capture, control, access, retention and transfer requirements.

Reporting and Inspection

The new Standard sets out more clearly that agencies must report to PROV on their storage arrangements and holdings and cooperate with PROV inspections upon request.

There are now requirements that:

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

Work Health and Safety Requirements

The revoked *PROS 11/01 S1 Agency Records Storage* included requirements for work health and safety. These are not included in the new Standard, as they are subject to detailed requirements under other legislation.

Insurance

The revoked *PROS 11/01 S1 Agency Records Storage* included the requirement that:

- Records in agency storage must be insured for recovery and restoration in the event of a disaster.

The new Standard focuses on records of significant value to the agency, the government or the public and states that restoration work should be undertaken in accordance with the value of the record. The wording also acknowledges that records can be degraded or damaged without a disaster occurring.

There are now requirements that:

- 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.
- 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.

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