

Audit

ANNEXURE 20: CHECK-LIST FOR OFF-SITE STORAGE FACILITIES⁴⁴

NAME OF PRIVATE STORAGE FACILITY: _____

DATE VISITED: _____

1. COMPANY PROFILE	
1.1 What is the company's mission?	
1.2 How does that mission compare with the goals and needs of your body?	
1.3 How long has the company been in the business of information management?	
1.4 Will the company provide references?	Yes/No
1.4.1 Will the company provide contact particulars of other governmental bodies that use the services of the company?	
1.4.2 Who are the other major clients? Provide contact particulars.	
1.5 Is the company an active member of PRISM International?	Yes/No
2. GENERAL SECURITY	
2.1 Does the company have 24-hour monitored security?	Yes/No
2.2 Does the company have authorized access to the facility?	Yes/No
2.3 Does the company have in-house security training and procedures?	Yes/No
2.4 Does the company have monitored vault entry?	Yes/No
2.5 Does the company have a secure loading and unloading area?	Yes/No
2.6 Does the company have authorization procedures that meet the governmental body's requirements?	Yes/No
2.7 Is the company using outsourced security service providers?	Yes/No
2.7.1 Will the company provide the name of the security service provider?	
2.7.2 Is the security services provider registered with the Private Security Industry Regulatory Authority ⁴⁵ ?	Yes/No

44 Adapted with the kind permission of PRISM International from their publication *Demand the best. A guide to help select an Off-site Information Management Company* [<http://www.prismint.org>] and according to South African Bureau of Standards, SANS 11799 – *Information and Documentation – Document storage requirements for archive and library materials*.

45 Private Security Industry Regulatory Authority, Street address: 481 Belvedere Street, Arcadia, Pretoria; Telephone: (012) 337 5500; Fax: (012) 324 3338; Website: <http://www.sira-sa.co.za>.

2.7.2.1 Can the company provide a registration certificate for the security company?	
2.8 How frequently are the security rounds done?	
2.9 Does the company itself conduct a daily security check?	Yes/No
2.10 Are security systems inspected and tested regularly?	Yes/No
2.11 Are the facilities situated in high crime areas?	Yes/No
2.11.1 What additional security arrangements were made for these?	Yes/No
3. DISASTER PREVENTION/PLANNING	
3.1 Does the facility have adequate fire detection systems?	Yes/No
3.1.1 Are all parts of the building connected to the fire detection system?	Yes/No
3.1.2 Is the fire detection system connected to a central monitoring panel? And does the system	Yes/No
3.1.2.1 issue a local warning at the control panel, indicating where the fire has been detected?	Yes/No
3.1.2.2 operate a plant shut down sequence to ensure that electrical, gas, heating and air conditioning systems does not contribute to the spreading of the fire?	Yes/No
3.1.2.3 automatically transmit a warning to the local fire brigade?	Yes/No
3.1.2.4 transmit a general fire alarm throughout the entire building?	Yes/No
3.1.3 Is the building equipped with manual fire alarm points?	Yes/No
3.2 Does the facility have adequate automatic fire suppression systems?	Yes/No
3.2.1 Describe systems used.	
3.2.2 Is the system regularly inspected and maintained?	Yes/No
3.2.3 Does the facility have portable fire extinguishers?	Yes/No
3.2.3.1 Are the portable fire extinguishers strategically placed?	Yes/No
3.2.3.2 Are the staff trained in the use of the portable fire extinguishers?	Yes/No
3.2.3.3 Are these portable fire extinguishers inspected and tested regularly?	Yes/No
3.4 Does the facility have a no-smoking policy?	Yes/No

3.5 Does the facility have a compliance certificate issued by the local Fire Brigade?	Yes/No
3.5.1 Can the company provide a copy of the certificate?	Yes/No
3.6 Is the alarm system activated by line tampering or disruption?	Yes/No
3.7 Does the facility have a regularly maintained and tested internal disaster plan?	Yes/No
4. FACILITY	
4.1 Is the facility in a desirable location?	Yes/No
4.1.1 Is the facility located in a non-flood prone area?	Yes/No
4.1.2 Is the facility at risk from earthquakes, tidal waves or landslides?	Yes/No
4.1.3 Is the facility at risk from fire or explosions in adjacent sites?	Yes/No
4.1.4 Is the facility near a place or a building that attracts rodents, insects and other pests?	Yes/No
4.1.5 Is the facility near a plant or installation that emits harmful gases, smoke, dust, etc.?	Yes/No
4.1.6 Is the facility in a polluted area?	Yes/No
4.1.7 Is the facility near a strategic installation which could be a target in an armed conflict?	Yes/No
4.2 Is the facility built according specific construction standards to ensure that it would be able to carry the weight of the paper?	Yes/No
4.3 What is the condition of the roof?	Good/Average Bad
4.3.1 Does the warehouse have a ceiling against the roof? ⁴⁶	Yes/No
4.4 Is there evidence of water leaks in the roof?	Yes/No
4.5 Does the facility have windows in the walls or the roof?	Yes/No
4.5.1 Are the windows blacked out? or	Yes/No
4.5.2 Are the windows covered with UV filtering?	Yes/No
4.6 Is illumination controlled to minimize damage to records?	Yes/No
4.7 Is the building ventilated in such a way that free air flow prevents	Yes/No

⁴⁶ If not, indicate that archival records may not be stored on the first three rows of shelves underneath the roof because heat can damage paper.

pockets of humidity from building up?	
4.7.1 Is the shelves lifted at least 150mm from the floor and the ceiling to ensure a free flow of air?	Yes/No
4.7.2 Is the air quality inside the building monitored for air pollution a oxidizing gasses and dust?	Yes/No
4.8 Is the facility climatically controlled?	Yes/No
4.8.1 Is the interior of the building insulated against external climatic changes?	Yes/No
4.8.1.1 Describe how it is insulated.	
4.9 Is the inside of the facility constructed of materials that are non-combustible and that does not attract, emit or retain dust?	Yes/No
4.9 Where are the following situated in relation to the storage facility?	
4.9.1 electricity supply systems	
4.9.2 gas supply systems	
4.9.3 water supply systems	
4.9.4 temperature/humidity control systems	
4.9.5 air filtration plant	
4.9.6 ventilation plant	
4.10 Does the facility have back-up power systems?	Yes/No
4.11 Does the facility have proper insurance coverage in the event of a disaster?	Yes/No
4.12 Is the facility in a stand-alone building? Or	Yes/No
4.12.1 Is the facility located in a multi-tenant building?	Yes/No
4.12.2 Who are the other tenants and what are their businesses? ⁴⁷	Yes/No
4.13 Are there other businesses near this facility that could be potentially hazardous?	Yes/No
4.14 Does the company engage in any other business at its facilities (moving and storage, public warehousing, etc.)?	Yes/No
4.15 Are there water pipes inside the building to evaluate if there is a danger that records could be flooded? ⁴⁸	Yes/No

47 Records storage facilities should not be close to other tenants who have businesses that can cause fire, water or chemical damage.

4.15.1 How regularly are they checked for leaks?	
5. COURIER VEHICLES	
5.1 Are the vehicles designed for safe records transport?	Yes/No
5.2 Are the vehicles climatically controlled?	Yes/No
5.3 Do the vehicles have appropriate security?	Yes/No
5.3.1 Describe the security.	
5.4 Are the vehicles secured while at a delivery/pick-up site?	Yes/No
5.5 Do the vehicles undergo preventative maintenance?	Yes/No
5.5.1 How regularly?	
5.6 Are the vehicles equipped with appropriate two-way communications (cellular phones, pagers, etc.)?	Yes/No
5.7 Are vehicles equipped with a global positioning system?	Yes/No
5.8 Are vehicles equipped with a fire extinguisher?	Yes/No
6. POLICIES & PROCEDURES	
6.1 Does the company have a clear and acceptable business contract?	Yes/No
6.2 Are shipping and receiving lists signed and maintained for future reference?	Yes/No
6.3 Does the company have a comprehensive employee screening process?	Yes/No
6.4 Does the company have a substance abuse policy (initial and ongoing)?	Yes/No
6.5 Are the employees/drivers provided with uniforms and identification cards?	Yes/No
6.6 Are employees required to sign a confidentiality agreement?	Yes/No
6.7 Is there ongoing employee education regarding the protection of the records in the care of the company?	Yes/No
6.8 Are after-hours personnel trained to handle client emergencies/requests?	Yes/No
7. STORAGE CAPABILITIES	
7.1 Is the company equipped to store:	

48 If there are, there is a danger of flooding.

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7.1.1 Audio and video tapes?	Yes/No
7.1.2 Computer media?	Yes/No
7.2.3 Hardcopy records?	Yes/No
7.1.4 Micrographics?	Yes/No
7.1.5 X-Rays?	Yes/No
7.1.6 Maps?	Yes/No
7.1.6.1 How are maps stored?	Yes/No
7.1.7 List other formats stored	Yes/No
7.2 Does the facility have adequate space to meet current needs?	Yes/No
7.3 Does the facility have adequate space to meet future needs?	Yes/No
7.4 Does the facility have temperature and humidity controlled environment for:	Yes/No
7.4.1 Hardcopy records?	Yes/No
7.4.2 Electronic records	Yes/No
7.4.2.1 Is the vault constructed according to SA national standards?	Yes/No
7.4.2.2 Does the media vault have an auxiliary power backup?	Yes/No
7.4.3 Is the racking and shelving specifically designed for information management? ⁴⁹	Yes/No
7.4.3.1 Are the shelves lifted above the floor?	Yes/No
7.5 What is the general condition of the boxes?	Yes/No
7.6 What type of containers/boxes do they use?	Yes/No
7.7 How are the files kept inside the containers?	Yes/No
7.8 Is the company aware that archival paper records should be stored in acid free containers?	Yes/No
8. PHYSICAL CARE	
8.1 Are the facilities dust free?	Yes/No

⁴⁹ Archival records must be stored on shelves that are made of coated metal. Wooden shelving should be avoided, as it can release harmful vapours, can contribute to the spread of fire, may harbour insects and may collapse when there are floods.

8.1.1 How often are the buildings cleaned?	Yes/No
8.2 Is humidity a problem?	Yes/No
8.3 Are insects a problem?	Yes/No
8.3.1 How often do they fumigate the building?	Yes/No
8.3.2 Are they using an outside service provider to fumigate?	Yes/No
8.3.3 Are they supervising the service provider?	Yes/No
8.3.4 Will they provide the name of the company?	Yes/No
8.4 Are rodents a problem?	Yes/No
8.4.1 Are they taking preventative actions?	Yes/No
8.4.1.1 Describe what actions are taken.	Yes/No
8.5 Is too much sunlight/electric lighting a danger to the records?	Yes/No
8.5.1 Are they taking preventative actions?	Yes/No
8.5.1.1 Describe actions taken.	Yes/No
9. CUSTOMER SERVICES	
9.1 Do they have 24-hour customer access?	Yes/No
9.2 Do they use barcode tracking?	Yes/No
9.3 Do they provide client procedures and/or training?	Yes/No
9.4 Do they provide client review rooms?	Yes/No
9.5 Are computer reports available?	Yes/No
9.6 Do they provide confidential destruction services for:	Yes/No
9.6.1 Hard copy?	Yes/No
9.6.2 Media?	Yes/No
9.7 Do they assist with:	Yes/No
9.7.1 Contingency planning?	Yes/No
9.7.2 Disaster recovery services?	Yes/No
9.8 Do they have a courier service that is:	Yes/No
9.8.1 Company staffed?	Yes/No

9.8.2 Outside vendor?	Yes/No
9.8.3 Emergency service only?	Yes/No
9.9 Do they handle Departmental billing?	Yes/No
9.10 Do they provide e-mail transmission of records?	Yes/No
9.11 Do they provide fax transmission of records?	Yes/No
9.12 Do they provide emergency pick-up and delivery services?	Yes/No
9.13 Do they provide facility management/ outsourcing services?	Yes/No
9.13.1 Describe what services are provided.	Yes/No
9.14 Do they provide index and inventory services?	Yes/No
9.15 Do they provide information management consulting?	Yes/No
9.15.1 Describe what services are provided.	Yes/No
9.16 Do they provide microfilming/ imaging services?	Yes/No
9.17 Do they provide a phone reference service?	Yes/No
9.18 Do they provide remote (online) access?	Yes/No
9.19 Do they provide retention schedule monitoring?	Yes/No
9.20 Are they aware of the National Archives and Records Service's requirement that public records destruction must be authorized with a written disposal authority?	Yes/No
9.21 Do they provide retrieval and refile services?	Yes/No
9.21.1 How efficient is the retrieval system of the records?	Yes/No
9.21.1.1 Are they willing to demonstrate their retrieval system?	Yes/No
9.21.1.2 Describe the retrieval system.	Yes/No
9.22 Are storage containers readily available?	Yes/No
9.23 Are computer media transfer cases available?	Yes/No
9.23.1 Are there different levels of security for these cases?	Yes/No
9.24 Is a statement of service and prices available?	Yes/No
9.25 Is client records/information management software available?	Yes/No