Specification

**Operations Management
PROS 10/17**

Public Record
Office Victoria

VICTORIA
State
Government

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Acknowledgements

1 Introduction

Adopting a planned approach to the operational management of the agency's recordkeeping function will enable agencies to effectively manage public records by:

- Outlining the procedures involved in managing records;

- Communicating to staff their responsibilities for managing records;

- Ensuring systems are well managed over their lifecycle;

- Establishing a programme of audit to determine compliance with recordkeeping frameworks, practices and procedures; and

- Continuously improving to enhance recordkeeping processes.

1.1   Public Record Office Victoria 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 government agencies to apply those Standards to records under their control.

Recordkeeping Standards issued by Public Record Office Victoria (PROV) reflect best practice methodology. This includes international Standards issued by the International Organisation for Standardisation (ISO) and Australian Standards (AS) issued by Standards Australia in addition to PROV research into current and future trends.

Heads of government agencies are responsible under section 13b of the *Public Records Act 1973* for carrying out, with the advice and assistance of the Keeper, a program of efficient management of public records that is in accordance with all Standards issued by the Keeper.

In Victoria, a program of records management is identified as consisting of the following components:

- A recordkeeping framework;

- Recordkeeping procedures, processes and practices;

- Records management systems and structures;

- People and organisational structures; and

- Resources, including sufficient budget and facilities.

A program of records management needs to cover all records created by the agency, in all formats, media and systems, including business systems.

1.2   Purpose

PROV 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 measurable and mandatory requirements which define the criteria for the implementation of the Operations Management Standard. Agencies must meet all the requirements detailed in this Specification to ensure they comply with the principles articulated in the Standard.

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The implementation of these requirements will enable your agency to effectively manage its records. This Specification covers:

- Recordkeeping procedures;
- Systems management;
- Training and awareness;
- Compliance audits;
- Continuous improvement; and
- Transfer of custodianship.

Each requirement within this Specification is individually numbered and described under the appropriate principle. Examples of evidence of compliance measures are provided for each requirement.

1.3   Scope

This Specification repeats principles from the Operations Management Standard. For more information on these principles, including explanation of why they are needed, please refer to the Operations Management Standard.

This Specification covers the activities associated with operational recordkeeping across the Victorian Government. Requirements for the strategic management of public records in agency custody are detailed in the Strategic Management Standard.

1.4   Definitions

For a full list of records management and PROV terminology, see the Master Glossary.

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2   Requirements

In this section, principles from the Operations Management 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   Procedures

Principle: Recordkeeping procedures must cover all processes required to create and maintain full and accurate records consistently, adequately and appropriately.

Requirement	Examples of Evidence
1. **Recordkeeping procedures required to ensure full and accurate records are created and maintained consistently, adequately and appropriately across the agency have been identified and developed to support the agency's records management policy, and in accordance with PROV Standards and Specifications.**	Reports of the analysis conducted to identify required recordkeeping procedures to manage hard copy and digital records in all agency systems over the records continuum. Process charts detailing staff interactions with recordkeeping systems and processes. Documented reviews of procedures and assessment reports which compare recordkeeping procedures with relevant PROV Standards and Specifications. Published final procedures. Matrix of requirements used to develop procedures.
2. **Recordkeeping procedures clearly identify the roles and responsibilities of staff.**	Recordkeeping induction and training documents. Procedures explaining recordkeeping responsibilities. Job descriptions and performance development plans describing roles and responsibilities.
3. **Relevant stakeholder groups have been consulted during the development and testing of draft recordkeeping procedures.**	Presentations of pilot workshops conducted with stakeholders to test procedures and resolve gaps. Participant surveys and feedback forms. Agenda and minutes of consultative meetings.
4. **Recordkeeping procedures have been approved by a senior officer responsible for recordkeeping within the agency, and have been published and communicated to all relevant people within the agency.**	Approval for procedures sought and confirmed by officer with appropriate delegation. For example: senior records manager, steering committee, governance group, chief information officer, director, executive director or head of agency. Signed copies of procedures. Meeting minutes or emails regarding approval of procedures. Promotion materials such as intranet pages, posters and flyers to advertise the launch of new procedures. Schedules of workshops and briefings to promote and explain procedures.
5. **Recordkeeping procedures are assessed whenever processes are changed to ensure they are accurate and up-to-date.**	Documented changes and updates when review of procedures has taken place. Document version control is maintained and updated when changes are made. New revision dates on updated procedures. Procedure register with details of reviews and updates.

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	The review program is incorporated in the compliance auditing documentation, to ensure procedures are relevant to key stakeholders.
	Procedure for reviewing procedures.

Further Information

Further information about recordkeeping responsibilities is located in the Strategic Management Specification and Fact Sheet 2: Recordkeeping Responsibilities for Public Sector Employees as well as within the other PROV Standards. Guidance on developing a records management policy is located in Strategic Management Guideline 1: Records Management Policy.

2.2   Systems Management

Principle: All systems which contain public records must be effectively managed over their life, from acquisition to decommissioning, to ensure the system's integrity, reliability and performance quality.

Requirement	Examples of Evidence
6. **The purpose and value of records has been appraised to ensure they are managed appropriately.**	Functional analysis report created to produce a Business Classification Scheme or Retention & Disposal Authority (RDA). Business process mapping of specific recordkeeping activities for functions with specialised recordkeeping activities and workflow. Spreadsheets of appraised records using the RDA.
7. **New or upgraded systems have been acquired, developed or integrated to meet the agency's business needs and recordkeeping requirements.**	Tender specifications which outline required recordkeeping functionality of new systems. System specification and configuration manuals. Metadata schemas which comply with the PROV Control Standard. VERS compliance appraisal report. Outline of the recordkeeping functionality in business systems or integration with recordkeeping systems. Stakeholder feedback documentation. Business needs analysis.
8. **Processes and controls have been established to ensure the day-to-day reliability of systems for all users.**	Records of system logs, outage logs and incident reports. Help desk records. Staff surveys. Service Level Agreement is documented. Support contract is up to date. Disaster recovery plan, business continuity plan or support contract is established, documented and actionable if required.
9. **Systems are monitored and maintained to ensure the integrity and performance quality**	Support contract is current, maintained and managed. Audit trails and help desk records. Documented monitoring processes that are run to ensure

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of the system over their life.	integrity and quality.
	Documented upgrades, patches and software support schedules.
	Completed test scripts run for upgrades, patches and releases. Pass or fail of test scripts documented.

Further Information

Further information on appraising records is located in Guideline 2: Appraisal. Further information about conducting a functional analysis is located in Guideline 1: Functional Analysis.

2.3 Training and Awareness

Principle: An ongoing training and awareness program covering essential recordkeeping procedures and responsibilities must be developed, endorsed and implemented, and assessed regularly.

Requirement	Examples of Evidence
10. Recordkeeping competencies and training needs of key stakeholder groups have been identified and analysed.	Results of feedback from surveys. Results of training needs analysis of specific stakeholder groups (e.g. executives, managers, records officers, administration staff, and customer service staff). Recordkeeping training strategy. Performance Development Plans. System monitoring reports.
11. An ongoing recordkeeping training and awareness program has been developed and endorsed by a senior officer with recordkeeping responsibility.	Documented approval and correspondence from appropriate delegates. For example the senior records manager, steering committee, governance group, director, executive director or the head of agency. A signed copy of training program.
12. Recordkeeping training and awareness activities have been developed to meet agency needs and have been customised for key stakeholder groups.	Training strategy, policies and procedures. Training program. Stakeholder analysis reports. Training materials that have been trialled with a sample of stakeholders to identify improvements prior to their use. Customised training packages to suit specific stakeholder groups (e.g. executives, managers, records officers, administration staff, and customer service staff). Stakeholder feedback forms and summary reports. File notes of changes to training materials.
13. Recordkeeping training and awareness activities have been communicated and delivered to all staff, consultants, contractors and volunteers who are creating, managing or using public records.	Copies of marketing programs via intranet and email to all staff, consultants, contractors and volunteers. Publicised training schedule for training, information sessions and specialised workshops. Agenda or minutes of meeting which detail attendance at divisional team meetings to promote training. Published training calendar.

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		Training attendance register.
		Feedback forms from participants.
		Documentation about targeted training or activities aimed at specific audiences e.g. contractors, consultants or volunteers.
14.	The agency's induction program addresses employee recordkeeping roles and responsibilities and compliance with the agency's recordkeeping procedures.	Presentation and any training information provided at induction. Recordkeeping induction training package. Customised induction presentations and specialised induction packages to suit specific audiences.
15.	The recordkeeping training and awareness program has been assessed annually using feedback to ensure its currency, effectiveness and relevance.	Report of review of training materials. Marked up copy of updated training materials.

Further Information

Further information on recordkeeping responsibilities is located in the PROV Strategic Management Guideline 1: Records Management Policy and Fact Sheets 1-3 on: Recordkeeping Responsibilities. A free e-learning program for all public sector employees is also available on the PROV website.

2.4 Compliance Audits

Principle: Recordkeeping frameworks, procedures and practices must be audited at regularly to ensure the agency is operating in compliance with its recordkeeping procedures.

Requirement		Examples of Evidence
16.	Recordkeeping procedures to be assessed by internal or external audits have been identified.	Risk assessment report that identifies recordkeeping activities and sections, divisions or business units where there may be a potential compliance risk. Documented review of procedures based on feedback from training and awareness programs. Audit program.
17.	A recordkeeping audit program has been developed and endorsed by the senior executive with recordkeeping responsibility.	Documented approval and correspondence from appropriate delegates. For example the senior records manager, steering committee, governance group, director, executive director or the head of agency. Endorsed version of the audit program.
18.	Recordkeeping audit procedures and criteria have been developed, and assessed following each audit.	Documented procedures outlining auditing steps and activities. Audit checklists. Audit program. Documented consultation and negotiation with divisional executives and key stakeholders to establish the audit schedule for specific areas, divisions, sections or business

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		units.
		Intranet and email advice about workshops held to explain audit procedures, what is happening and when, and audit schedule advice for participants.
		Audit report.
		File notes on changes to audit schedule.
19.	**Results of recordkeeping audits and any audit recommendations have been documented, presented and reported to senior executives and relevant stakeholders.**	Audit report presented to senior executive and relevant stakeholders.
		Presentation of results.
		Correspondence to stakeholders.
		Audit action plan and item register.
		Correspondence to managers requesting actions on items listed as their responsibility, as documented in the audit action plan.
		Status reports.
20.	**The progress of recordkeeping audit recommendations are monitored and reported to senior executives.**	Correspondence to stakeholders.
		Audit action plan and item register from recommendations.
		Correspondence to managers requesting actions on items on audit action plan.
		Status reports.
		Schedule of workshops, seminars, refresher training to resolve action items.
		Final version of audit report.

2.5   Continuous Improvement

Principle: Continuous improvement activities must be conducted regularly to ensure recordkeeping practices meet agency needs and reflect industry best practice.

Requirement		Examples of Evidence
21.	**Continuous improvement activities are regularly conducted to enhance agency recordkeeping practices.**	Plans which include continuous improvement activities being conducted in the agency to enhance recordkeeping.
22.	**Staff and client feedback processes have been established to routinely identify opportunities to improve recordkeeping.**	Presentation used with stakeholder group or pilot group to test continuous improvement program.
		Surveys of participants of the continuous improvement program are collected and reported on to determine the effectiveness, determine gaps, and any area of ineffectiveness in the continuous improvement activities.
		Feedback register is maintained.
		Signed copy of the workshop run sheet and participant register, activities schedule, all agreed actions, feedback forms, and continuous improvement register.
23.	**Recordkeeping frameworks and key processes are analysed, researched, benchmarked, or**	Copies of research.
		Reports outlining the findings and recommendations to adopt

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		that have been provided to executive or steering or governance group for approval and action.
	compared with similar organisations to identify industry trends and opportunities for improvement.	Reports detailing benchmarking against similar agencies.
		Details of agency membership of groups used for external research (e.g. RMAA, ASA, IMM, HIMMA).
		Proposals to executive or steering or governance group regarding recordkeeping process improvements.
		Process improvement manual.
24.	Results of recordkeeping process improvements are measured and reported to senior executives	Key performance indicator reports.
		Reports or memos to senior executives presenting findings and results.
		Post-implementation review reports.

Further Information

Further information on continuous improvement is located in Guideline 6: Continuous Improvement. Further information on key performance indicators can be found in Strategic Management Guideline 3: Key Performance Indicators.

2.6   Transfer of Custodianship

Principle: Custodianship of all records affected by administrative changes must be planned and successfully transferred between government agencies to ensure the ongoing administration of functions.

Requirement		Examples of Evidence
25.	Plans for record custodianship transfers have been developed, and endorsed by the senior executive responsible for recordkeeping.	Documented proposals for transfer plan and procedures.
		Copy of the initial approval sought by executive with responsibility for recordkeeping within the agency.
		Approval for transfer plans and procedures by executive with responsibility for transfer of custodianship delegation (e.g. steering committee, governance group, senior executive or head of agency).
		Signed copy of all transfer plans and procedures.
26.	Record custodianship transfer activities are coordinated between senior officers with recordkeeping responsibilities in each agency.	Schedule of recordkeeping transfer activities that has been distributed and agreed to by both agencies.
		Advance notification of dates via Intranet advice and email communication to all staff affected by change.
		Schedule of records management staff who will participate in transfer activities.
		Contact list with details of who to call from transferring or accepting agency.
		Signed copy of all of the scheduling documents.
27.	When functions are transferred between agencies due to amalgamations, structural, functional, or administrative changes (also known as machinery of government changes),	Search results or reports on all records of the function, including inactive records held offsite and State Archives held at PROV, that are identified as belonging to a function that is being transferred.

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	all records of that function are identified and documented.	Confirmation email or memo from the appropriate executive or delegate and internal stakeholders that identification of records is complete and accurate. Reports listing records identified for transfer.
28.	Current records related to a function which is being transferred between Victorian government agencies must be transferred with the function to the receiving agency.	Search results and reports defining current records of the function. Reports listing records transferred.
29.	Records being transferred between agencies must be transferred with their metadata and in an accessible format.	Metadata extracts for records transferred. Signed agreement between agencies.
30.	Inactive records identified for transfer must be sentenced before custodianship transfers occur.[1]	Report documenting the sentencing activities completed, which has been provided to the receiving agency.
31.	Temporary records that are time expired are reviewed for destruction by the transferring agency in consultation with the receiving agency and in accordance with the Disposal Standard.	Destruction certificates which demonstrate that temporary records eligible for destruction have been destroyed. Report documenting the destruction activities completed, which has been provided to the receiving agency.
32.	Permanent records that are no longer in administrative use are transferred to PROV by the transferring agency in consultation with the receiving agency and in accordance with the Disposal Standard.	Transfer documentation for permanent records that are transferred to PROV. Report documenting the transfer activities completed, which has been provided to the receiving agency.
33.	Where permanent records of the function have been previously transferred to PROV, the transferring agency has notified PROV of the change of responsibility for the transferred function.	Correspondence to the Keeper of Public Records regarding transfer of custodianship.
34.	Senior officers responsible for recordkeeping have negotiated to set specific responsibilities, define costs, schedule activities, prescribe service parameters and ensure business continuity for record custodianship transfers.	Documentation about meetings held and minuted to discuss responsibilities, costs, timeframes and all service parameters. Signed agreement between agencies.
35.	Procedures for record custodianship transfers have been communicated to all relevant staff	Transfer plan and procedure. Communication plan. Schedule of transfer activities.

[1] Where there is no current Disposal Authority, appraisal of the records must be carried out and disposal authorisation obtained from the Keeper of Public Records in accordance with the *Disposal Standard*.

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	prior to transfer occurring for all transfer of custodianship arrangements.	Checklist of staff obligations. Contact lists with details of who to call for help in the current agency and who to call in the new agency.
36.	**Record custodianship transfers are confirmed in writing once the records have been successfully incorporated into the agency's recordkeeping systems and copies of digital records are not destroyed until this confirmation is received.**	Correspondence from receiving agency confirming transfer.
37.	**The custodianship of records can only be transferred outside the Victorian jurisdiction with the approval of the Keeper of Public Records**	Applications to the Keeper of Public Records for records to be transferred out of the Victorian jurisdiction (including a list of all records nominated for transfer). Correspondence regarding approval from the Keeper of Public Records. Register of transferred records.

Further Information

Further information on transferring record custodianship is located in Guideline 4: Transfer of Custodianship. Requirements for the disposal of public records are located in the Disposal Standard. Requirements for managing records of activities which have been privatised are located in the Strategic Management Specification.

3 References

Australian Public Service Commission 2007, *Implementing Machinery of Government Changes: a good practice guide. Chapter 6: Records Management,* Commonwealth of Australia, Canberra, viewed 10 November 2015 <http://www.apsc.gov.au/publications-and-media/current-publications/machinery-of-government>.

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Victorian Auditor-General's Office 2008, *Report on Records Management in the Victorian Public Sector*, VAGO, Melbourne, viewed 11 November 2015, <http://www.audit.vic.gov.au/reports__publications/reports_by_year/2008/20080312_records.aspx>.

Victorian Auditor-General's Office 2008, *Records Management Checklist*, VAGO, Melbourne, viewed 11 November 2015, <http://www.audit.vic.gov.au/reports__publications/reports_by_year/2008/20080730_records_checklist.aspx>.

Legislation

Public Records Act 1973 (Vic)

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

Standards

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

Other Resources

For more information on the operational management of public records, please contact:

Government Services
Public Record Office Victoria
Ph: (03) 9348 5600
Fax: (03) 9348 5656
Email: standards@prov.vic.gov.au
Web: www.prov.vic.gov.au

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