Standard

PROS 10/17
Operations Management

Public Record
Office Victoria

VICTORIA
State
Government

Establishment of Standard

Pursuant to Section 12 of the *Public Records Act 1973*, I hereby establish these provisions as a Standard applying to the records of all government agencies, courts or persons acting judicially in Victoria. This Standard, as varied or amended from time to time, shall have effect for a period of five (5) years from the date of issue unless revoked prior to that date.

Justine Heazlewood
Keeper of Public Records

Date of Issue: 23 December 2015

PROS 10/17
Operations Management Standard, v 2.0
Approved on 23 December 2015
PROS 1017 v2.0

Public Record Office Victoria

VICTORIA State Government

Page 2 of 10

Table of Contents

Copyright Statement

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Acknowledgements

1 Introduction

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

This Standard provides a set of mandatory principles for Victorian government agencies regarding the operational management of public records. It concerns the day to day running of records management systems, practices, and processes across an agency.

The implementation of this Standard will benefit agencies by enabling the operational management of records to be carried out according to best practice. Adopting the principles in this Standard will ensure:

- Appropriate recordkeeping procedures are in place and up-to-date;
- Recordkeeping systems are effectively managed over their life;
- Training and awareness activities are effective and meet agency needs;
- Compliance with recordkeeping requirements is audited and gaps identified;
- Recordkeeping practices are continuously improved; and
- Record custodianship is transferred between agencies when required.

1.3   Scope

This Standard covers the high level principles relating to the function and activities of records management operations. Each principle consists of a statement of best practice followed by an explanation of what is meant by the principle and why the principle is important.

The principles detailed in this Standard provide the foundation for the measurable compliance requirements described in the associated Specification, PROS 10/17 S1 Operations Management Specification. In addition, Guidelines relating to this Standard and Specifications have been developed to assist agencies comply with the requirements of the appropriate Specifications.

1.4   Definitions

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

PROS 10/17
Operations Management Standard, v 2.0
Approved on 23 December 2015
PROS 1017 v2.0

Public Record Office Victoria

VICTORIA State Government

Page 5 of 10

2 Detail of Standard

2.1 Procedures

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

The intent of this principle is to ensure that procedures which support all recordkeeping functions are established and maintained. Procedures should be consistent with the agency's current recordkeeping processes and designed to support training activities. Effective procedures will be clear, concise, accurate, promoted and accessible. It is important that procedures are assessed regularly to ensure their relevance and currency.

The benefits of establishing recordkeeping procedures include:

- Providing clarity and direction for all recordkeeping activities;
- Supporting recordkeeping training activities; and
- Minimising the risk of inadequate recordkeeping by ensuring that recordkeeping processes are documented and available to all staff and contractors.

Refer to the Strategic Management Standard for a related principle on records management policy.

The minimum requirements to comply with this operations management principle are detailed in PROS 10/17 S1 Operation Management Specification issued under this Standard.

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.

The intent of this principle is to ensure that systems in which public records are created or captured are acquired, maintained, managed and decommissioned in a well planned manner. A system may be a recordkeeping system designed specifically for managing records, or a business system designed to support a specific business process or transaction. Systems may be electronic, manual or a combination of the two. The effective management of systems is a key component in ensuring the integrity, reliability and accessibility of the records managed within the system.

The benefits of managing recordkeeping systems over their life include:

- Providing staff with reliable systems to facilitate their recordkeeping activities;
- Supporting agency business activities by having records available, searchable and accessible; and
- Ensuring the security, integrity and trustworthiness of records held in systems.

The minimum requirements to comply with this operations management principle are detailed in the Specification issued under this Standard.

PROS 10/17
Operations Management Standard, v 2.0
Approved on 23 December 2015
PROS 1017 v2.0

Public Record Office Victoria

VICTORIA State Government

Page 6 of 10

2.3   Training & Awareness

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

The intent of this principle is to ensure that relevant staff, contractors and volunteers are aware of their recordkeeping responsibilities and can competently follow recordkeeping procedures. Providing an ongoing recordkeeping training and awareness program will ensure recordkeeping responsibilities and procedures are clearly understood. It is essential that the training and awareness program is assessed regularly to ensure it remains relevant and current.

The benefits of a formal training and awareness program include:

- Increased accountability as recordkeeping roles and responsibilities are clear;

- Greater compliance with recordkeeping procedures; and

- Minimising the risk of inadequate recordkeeping by ensuring that recordkeeping procedures are understood across the agency.

Refer to the Strategic Management Standard for a related principle on records management policy.

The minimum requirements to comply with this operations management principle are detailed in the Specification issued under this Standard.

2.4   Compliance Audits

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

The intent of this principle is to ensure that recordkeeping activities across the agency are operating in compliance to approved recordkeeping frameworks. This can be achieved through an ongoing program of internal compliance audits. Conducting audits regularly will help to ensure all essential recordkeeping procedures, practices and the systems used to capture records are adopted. Compliance audits will also help to establish and confirm highly functioning recordkeeping capabilities within the agency.

The findings of the compliance audits will contribute to the review of recordkeeping procedures and the training and awareness program. Regularly assessing compliance audit parameters will maintain the integrity of the audit process.

The benefits of establishing recordkeeping procedures include:

- Ensuring recordkeeping frameworks are effective and have been adopted across the agency;

- Assessing the effectiveness of the recordkeeping training and awareness program;

- Identifying opportunities for improvement to recordkeeping procedures; and

- Ensuring compliance with legislative recordkeeping requirements across the agency.

The minimum requirements to comply with this operations management principle are detailed in the Specification issued under this Standard.

PROS 10/17
Operations Management Standard, v 2.0
Approved on 23 December 2015
PROS 1017 v2.0

Public Record Office Victoria

VICTORIA State Government

Page 7 of 10

2.5   Continuous Improvement

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

The intent of this principle is to ensure that recordkeeping practices within the agency are continuously improved. Conducting continuous improvement activities will ensure that innovations and process improvements are identified, assessed and realised. Improvements may be implemented through revisions to recordkeeping policy and procedures, enhancements to the training and awareness program or through the agency's records management strategy. Effective client feedback mechanisms will be an essential component of continuous improvement activities.

The benefits of establishing recordkeeping procedures include:

- Improving the quality of recordkeeping services and systems in an iterative way;
- Ensuring new developments in PROV Standards and industry best practice are implemented in the agency; and
- Engaging and empowering people by valuing and utilising their feedback and ideas.

The minimum requirements to comply with this operations management principle are detailed in the Specification issued under this Standard.

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.

The intent of this principle is to ensure that the agency is prepared for transfers of record custodianship so that they can be executed quickly and successfully when required. The transfer of record custodianship between agencies may be required due to amalgamations, structural or functional changes, site closures or administrative changes (commonly known as machinery of government changes). Establishing appropriate plans when administrative changes are announced will ensure that record transfers can be conducted effectively. Identifying and assessing records to be transferred is vital for ensuring a complete, accurate and efficient transfer.

The benefits of establishing recordkeeping procedures include:

- Maintaining continuity of government functions by ensuring records are available and accessible;
- Ensuring transfer risks are minimised, managed and mitigated;
- Maintaining business continuity for recordkeeping functions;
- Enabling recordkeeping services to be managed and maintained for a seamless transfer for both the accepting agency and transferring agency; and
- Establishing and supporting effective co-operation between transferring and accepting agencies.

The minimum requirements to comply with this operations management principle are detailed in the Specification issued under this Standard.

PROS 10/17
Operations Management Standard, v 2.0
Approved on 23 December 2015
PROS 1017 v2.0

Public Record Office Victoria

VICTORIA State Government

Page 8 of 10

3 References

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Victorian Auditor-General's Office 2008, *Records Management Checklist*, VAGO. Melbourne, viewed 9 November 2015, <http://www.audit.vic.gov.au/reports__publications/reports_by_year/2008/20080730_records_checklist.aspx>.

Legislation

Local Government Act 1989 (Vic)

Public Administration Act 2004 (Vic)

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.

Standards Australia 2003, AS 8000 Good governance principles, Standards Australia, Sydney.

Standards Australia 2006, AS/NZS ISO 9000:2006 Australian/New Zealand standard on quality management systems – Fundamentals and vocabulary, Standards Australia, Sydney.

PROS 10/17
Operations Management Standard, v 2.0
Approved on 23 December 2015
PROS 1017 v2.0

Public Record Office Victoria

VICTORIA State Government

Page 9 of 10

Other Resources

For more information about Operations Management, please contact:

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PROS 10/17
Operations Management Standard, v 2.0
Approved on 23 December 2015
PROS 1017 v2.0

Public Record Office Victoria

VICTORIA
State Government

Page 10 of 10