

# Standard

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**PROS 11/07**  
**Capture**

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## 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 ten (10) years from the date of issue unless revoked prior to that date.



**Justine Heazlewood**

Keeper of Public Records

Date of Issue: 5 September 2016

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## Disclaimer

The State of Victoria gives no warranty that the information in this version is correct or complete, error free or contains no omissions. The State of Victoria shall not be liable for any loss howsoever caused whether due to negligence or otherwise arising from the use of this Standard.

## Acknowledgements

Public Record Office Victoria would like to acknowledge the valuable contribution of members of the Capture Advisory Group during the development of the original version of this Standard.

# 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 capture of public records. It applies to the creation and capture of all public records, regardless of format or media. The creation and capture of records that are authentic, reliable, usable, and have integrity enables the records to retain their value as evidence of agency decisions and activities.

The implementation of this Standard will benefit agencies through:

- Strengthening accountable and transparent governance as all the actions and decisions of agencies are documented through the creation of full and accurate records
- Providing assurance that records are authentic as all agency records are created and captured using consistent processes and compliant systems
- Producing reliable records as all agency records are clearly and correctly related to their contextual environment
- Ensuring that records continue to be usable as the methods and tools needed to ensure their preservation are incorporated into the systems and processes that manage them
- Enabling agencies to demonstrate that their records have not been tampered with and prove the integrity of their records.

## 1.3 Scope

This Standard covers the high level principles relating to the function and activities of record capture and its relationship to records management. 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 Specifications. Agencies must meet all the requirements detailed in the Specifications to ensure they comply with the principles articulated in this Standard. Guidelines associated with this Standard will assist agencies to implement these requirements.

## 1.4 Definitions

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

# 2 Detail of Standard

## 2.1 Creation

*Principle: Full and accurate records of all agency activities and decisions are systematically created by authorised people or systems to meet business needs, accountability requirements and community expectations.*

The intent of this principle is to ensure that agency records are adequate, complete, meaningful and comprehensive evidence of agency business activities and decisions. Adequate records contain sufficient information to convey the particulars of the activities and decisions they document. Complete records contain content, context and structure. Meaningful records contain metadata and links that enable them to be understood in relation to their context. Comprehensive records cover all business activities and decisions undertaken by the agency.

Creating records systematically means that records are consistently created by authorised people or systems as part of normal business practice and in accordance with clear procedures. Authorised people have the appropriate skills and competence and have been formally authorised by the agency to create and capture records. Authorised systems are systems that have been formally recognised in the agency's records management policy. Records should be created at or near to the time of the event, activity or decision they document.

Agency business needs may include the delivery of government functions assigned to the agency as well as the agency's ongoing business operations. Accountability requirements may include:

- Legislative and regulatory requirements
- Alignment with key strategies<sup>1</sup>
- Stakeholder obligations and
- Other agency obligations or requirements.

Community expectations include areas where the agency interacts with individuals, as well as where the agency interacts with communities. In such instances there will be expectations that the agency will create a record of the interaction.

The benefits of systematically creating full and accurate records of all agency activities and decisions are as follows:

- Agency compliance with legal obligations is assisted by ensuring that the information captured in records is appropriate and accurate
- A body of knowledge recording community expectations can be built by the agency, which it can use to improve services to clients
- Responding to client requests, such as freedom of information applications, and the agency's internal queries can be done with the confidence that the agency has a full and accurate representation of its actions and decisions
- Business needs may be addressed more effectively and cost-efficiently due to records being consistently created in accordance with clear processes
- A significant contribution to the memory, knowledge and understanding of the society and communities of Victoria can be made by the agency from which researchers can draw valuable insights.

The minimum requirements to comply with this capture principle are detailed in the Specifications issued under this Standard.

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<sup>1</sup> See the Strategic Management Specification for information on which strategies are to align with records management.

## 2.2 Authenticity

*Principle: Authentic records of all agency activities and decisions are consistently captured by robust and compliant systems.*

The intent of this principle is to ensure that records are captured as part of normal business practice into systems that meet legislative and regulatory requirements using structured processes. Agencies must demonstrate that records are what they purport to be as they were captured by authorised people into official business systems, in accordance with approved procedures.

Authenticity can be demonstrated by records resulting from comprehensive auditing processes and systems. A robust system is one that is reliable, efficient, effective, and provides consistent high-quality performance. A compliant system is one that meets legislative and regulatory requirements including PROV Standards.

The benefits of routinely capturing authentic records are as follows:

- Compliance of agency systems with relevant legislation and regulations can be demonstrated
- Claims that agency records are authentic evidence can be supported as the processes used to create and capture them by the agency are consistent and routinely followed
- Automated processes to capture records become more likely as practice becomes routine, making agency business more efficient.

The minimum requirements to comply with this capture principle are detailed in the Specifications issued under this Standard.

## 2.3 Reliability

*Principle: Public records are correctly and clearly connected to the relevant times, people, systems, processes and events to ensure they are reliable evidence of what occurred.*

The intent of this principle is to ensure that the relationships between agency records and the people, systems, processes and events they document are captured and that the information contained within the documents is accurate. This includes the dates and times that the events or actions occurred and the creation and capture of the corresponding record.

A culture of consistent practice is needed for records to be reliable as evidence of agency decisions and activities. This will allow agencies to demonstrate that the same types of relationships are recorded in the same way each time a record is captured.

The benefits of agency records being reliable as evidence are as follows:

- The reputation of the agency as accountable and transparent is more easily protected as a culture of consistent practice can be demonstrated
- Records are more easily understood as the context of the records is complete
- Information needed for agencies to operate is more dependable, enabling business to be conducted more effectively.

The minimum requirements to comply with this capture principle are detailed in the Specifications issued under this Standard.

## 2.4 Useability

*Principle: Public records are preserved for future use at the time of their creation and capture through effective strategies, methods and formats.*

The intent of this principle is to ensure that records continue to be useable for the duration of their retention period through strategies, methods and formats that preserve the records and make them capable of being used. Preserving records for future use means that the capability to locate, retrieve, present and interpret records is preserved along with the record for the duration of its retention period.

Linking preservation strategies to the systems used to create and capture public records ensures that the records are managed appropriately from the time they are created. Record preservation risks are identified, assessed and mitigated as close to the point of creation as possible. This ensures that management of the record includes practices that preserve the record for the duration of its retention period from the time of its creation and capture. It also enables risks to the ongoing preservation of a record to be addressed as part of the agency's risk management framework.

The benefits of preserving records for future use are as follows:

- A body of knowledge can be built that agencies can continue to use and reuse for multiple purposes and by multiple stakeholders
- Longevity of the records can be assured as risks such as technological obsolescence can be overcome by proactive and routine practices that preserve the records for future use
- Long term costs relating to the management of the records can be reduced as the preservation of records has been considered at the point of creation.

The minimum requirements to comply with this Capture principle are detailed in the Specifications issued under this Standard

## 2.5 Integrity

*Principle: Systems that capture public records maintain the integrity of the records as evidence, protecting them from undetected and unauthorised alteration.*

The intent of this principle is to ensure that the integrity of the records captured by agency systems is maintained over time. This means that any annotations, additions or deletions to records are captured, including the time of the change, what change was made and who made it.

Maintaining the integrity of records as evidence means that records are complete and unaltered. Demonstrating integrity relies on:

- Strategy that enables repeatable processes to be devised that can be used to support an argument for the changes made being authorised and
- Technology that enables changes to be detected through audit logs, use of digital signatures, and other devices.

The benefits of maintaining the integrity of records as evidence are as follows:

- The evidentiary weight of a record is ensured when required to prove an agency's action or decision
- Any unauthorised changes made to a record can be detected and appropriately addressed
- The agency's reputation is enhanced and validated by demonstrating transparent and accurate recordkeeping.

The minimum requirements to comply with this capture principle are detailed in the Specifications issued under this Standard.

# 3 References

Victorian Auditor General's Office (VAGO) 2008, Report on Records Management in the Victorian Public Sector, VAGO, Melbourne, viewed 21 January 2011, <[http://www.audit.vic.gov.au/reports\\_\\_publications/reports\\_by\\_year/2008/20080312\\_records.aspx](http://www.audit.vic.gov.au/reports__publications/reports_by_year/2008/20080312_records.aspx)>.

Victorian Auditor General's Office (VAGO) 2008, Records Management Checklist, VAGO Melbourne, viewed 21 January 2011, <[http://www.audit.vic.gov.au/reports\\_\\_publications/reports\\_by\\_year/2008/20080730\\_records\\_checklist.aspx](http://www.audit.vic.gov.au/reports__publications/reports_by_year/2008/20080730_records_checklist.aspx)>.

## Legislation

Crimes Act 1958 (Vic)

Evidence Act 2008 (Vic)

Freedom of Information Act 1982 (Vic)

Health Records Act 2001 (Vic)

Privacy and Data Protection Act 2014 (Vic)

Local Government Act 1989 (Vic)

Occupational Health and Safety Act 2004 (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

Northern Territory Government (NTG) 2010, Records Management Standards for Public Sector Organisations in NT: Standard 2 – Capture, NTG, Darwin NT, viewed 5 July 2016, <[http://www.nt.gov.au/dcis/info\\_tech/records\\_policy\\_standards/records\\_management\\_standards/standard2\\_capture.shtml](http://www.nt.gov.au/dcis/info_tech/records_policy_standards/records_management_standards/standard2_capture.shtml)>.

Standards Australia 2004, AS/NZS ISO 5127 Australian / New Zealand standard on information and documentation – Vocabulary, Standards Australia, Sydney.

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

State Records Commission of Western Australia (SRCWA) 2002, SRC Standard 1: Government Recordkeeping, SRCWA Perth WA, viewed 5 July 2016, <<http://www.sro.wa.gov.au/sites/default/files/src-standard1.pdf>>.

State Records of South Australia (SRSA) 2008, Adequate Records Management Standard, SRSA Adelaide SA, viewed 5 July, <<http://www.archives.sa.gov.au/content/adequate-records-management-framework>>.

## Other Resources

You can obtain relevant publications, supplies of relevant forms, and answers to any enquiries you may have by first contacting your agency's records manager or the Public Record Office Victoria:

For more information about Capture please contact:

Government Services

Public Record Office Victoria

Ph: (03) 9348 5600

Fax: (03) 9348 5656

Email: [agency.queries@prov.vic.gov.au](mailto:agency.queries@prov.vic.gov.au)

Web: [www.prov.vic.gov.au](http://www.prov.vic.gov.au)