

PROS 10/13 Specification 3

Transfer of State Archives to PROV

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1 Introduction

This specification deals with the process of transferring State Archives into PROV custody

Agencies have a mandatory requirement under the *Public Records Act 1973* (the Act) to transfer permanent records to the Public Record Office Victoria (PROV) to preserve evidence of the Victorian Government's decisions and actions. Disposal Authorities issued by PROV specify the records determined as being of permanent value that are to be transferred to PROV as State Archives.

1.1 Purpose

PROV Standards contain mandatory principles for the management of public records within Victoria. Standards issued by the Keeper of Public Records (the Keeper) are supported by Specifications which contain the measurable, mandatory requirements that agencies must comply with in order to meet the principles. *PROS 10/13 Disposal Standard* (hereafter referred to as the Standard) is the overarching document for Disposal.

This Specification provides a detailed set of requirements which define the criteria for the implementation of the Standard in relation to the transfer of State Archives to PROV. It is not the only Specification that details requirements to meet this Standard. It is not the only Specification that details requirements to meet the Standard. Agencies must meet all the requirements detailed in all disposal Specifications to ensure they comply with the principles articulated in the Standard.

The implementation of these requirements will enable your agency to effectively manage the records management activities within your agency, including providing for the lawful and efficient disposal of public records. Adopting a planned approach to transferring permanent records into the custody of PROV in accordance with the Standard will ensure agencies meet legislative and accountability requirements, resources are managed effectively and State Archives are preserved for the community.

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

1.2 Scope

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

This Specification covers the requirement of transferring State Archives into the custody of PROV and Places of Deposit (POD) Repositories. This Specification must be used in conjunction with *PROS 11/10 Access Specification 2: Access to Records in PROV Custody*. This Specification does not cover the transfer of temporary records to PODs.

For definitions of terms used within this Specification, please refer to the *Master Glossary*.

1.3 Document Relationship Diagram

An interactive diagram showing the relationship between this Specification and other documents associated with the Standard is located on our website: <https://www.prov.vic.gov.au/recordkeeping-government/about-standards-framework-policies/disposal-standard>.

Other PROV Standards and Specifications, including Retention & Disposal Authorities (RDAs), will also affect how this Specification is implemented in particular agencies.

2 Requirements

In this section, principles from the Standard are provided in italics for easy reference. The tables located below the principles, list the mandatory requirements and examples of evidence for each requirement.

2.1 Legality

Principle: Disposal of public records must be conducted in a lawful manner.

Requirement	Examples of Evidence
1. Agencies must transfer permanent records to PROV as State Archives once they no longer require ready access to them to support the agency's current business.¹	Transfer schedule agreed with PROV. Record Series registered in PROV catalogue and transferred to PROV custody.
2. Justification for the agency retaining permanent records when no longer required for current business is documented and, on request, provided to PROV.	Statement explaining why Permanent records are required by the agency. Report demonstrating continuing use.
3. The agency must comply with a directive from the Keeper of Public Records to transfer permanent records in compliance with PROV instructions if the Keeper is not satisfied that they continue to be required in agency custody for administrative use.	Correspondence between PROV and the agency.

Further Information

For a list of current Disposal Authorities please see the PROV website: <https://www.prov.vic.gov.au/recordkeeping-government/standards-policies-rdas>.

¹ Under the Act, permanent records should be transferred after a maximum of 25 years of age when held in agency custody but transfer can be proposed to PROV earlier if administrative use is completed.

2.2 Authorisation

Principle: The Disposal of public records must be authorised by the Keeper of Public Records.

Requirement	Examples of Evidence
<p>4. Agencies must ensure that only records identified as ‘permanent’ in authorised disposal instruments are proposed for transfer to PROV as State Archives.</p>	<p>Records transfer documentation which includes reference to a current and relevant disposal instrument.</p> <p>Documentary evidence of records appraisal by PROV (appraisal reports issued by PROV) and sentencing by agency (sentencing reports).</p> <p>Record description lists containing records identified by a disposal instrument as being permanent (State Archives).</p>
<p>5. All transfer proposals are assessed and approved by PROV, before the transfer of records into PROV custody.</p>	<p>Documented approval by PROV.</p>
<p>6. Permanent records are prepared and documented for transfer in accordance with PROV instructions.</p>	<p>Correspondence between the agency and PROV.</p> <p>Transfer documentation, such as forms, descriptive and contextual information about the records, and information about the administrative history of the records (such as why the records were created, how they were used in the course of the agency’s business, the nature of the information they contain, the records’ date ranges and system of arrangement) and their relation to other records held by PROV.</p> <p>Digital records transferred to PROV as VERS Encapsulated Objects (VEOs) in accordance with the Victorian Electronic Records Strategy (VERS) requirements.</p> <p>Procedures regarding the transfer of records from the agency to PROV.</p> <p>Checklist and other quality assurance documentation confirming that the transfer is being undertaken in accordance with both PROV directives and agency procedures.</p>
<p>7. Public access arrangements are authorised in accordance with the access provisions of the <i>Public Records Act 1973</i>.</p>	<p>Signed PROV access authority(s) for all records to be transferred.</p> <p>Government Gazettal.</p>

Further Information

For further information about access arrangements for State Archives in Agency Custody, please refer to *PROS 11/10 Access Specification 1: Access to Record in Agency Custody*: <https://www.prov.vic.gov.au/recordkeeping-government/document-library/pros-1110-s1-access-records-agency-custody>.

For information about access arrangements for State Archives in PROV Custody, please refer to *PROS 11/10 Access Specification 2: Access to Records in PROV Custody*: <https://www.prov.vic.gov.au/recordkeeping-government/document-library/pros-1110-s2-access-records-prov-custody>.

For information about the transfer process see the Transfer Topic Page on the PROV website:
<https://www.prov.vic.gov.au/recordkeeping-government/transferring-records>.

2.3 Accountability

Principle: The head of the agency is accountable for the disposal of public records for which they are responsible and must ensure that any disposal is conducted in accordance with the *Public Records Act 1973*.

Requirement	Examples of Evidence
8. All transfers of permanent records as State Archives are approved by the senior officer with recordkeeping responsibility for the agency.	Transfer forms with signature of responsible officer.
9. Evidence is maintained by the agency of all State Archives transferred to PROV.	Transfer documentation within the agency's recordkeeping system (PROV supplied Victorian Public Record Series (VPRS) numbers, Consignment numbers, Unit numbers and approved access arrangements of all records transferred to PROV). Disposal registers.
10. Records once transferred to PROV must not be added to, removed, or amended without the Keeper's authorisation.	Process to monitor and ensure records retrieved from PROV are not amended nor have documents removed.

Further Information

For information on what documentation provides evidence of transfers to PROV, please refer to the *PROS 10/13 Disposal Guideline 4: Transfer of State Archives to PROV*: Physical: <https://www.prov.vic.gov.au/recordkeeping-government/document-library/pros-1013-g4-transfer-records-prov-physical>.

For information about the transfer process see the Transfer Topic Page on the PROV website:
<https://www.prov.vic.gov.au/recordkeeping-government/transferring-records>.

2.4 Informed Decision Making

Principle: Disposal actions must be based on an informed decision making process.

Requirement	Examples of Evidence
11. Agencies must be aware of their permanent record holdings, including information regarding their purpose, provenance, quantity and location, and provide this information to PROV upon request.	Reports detailing identification of permanent records (State Archives) held within the agency. Records identified as permanent (State Archives) within the agency's current recordkeeping system, Transfer plans. Disposal registers.

Further Information

For information on what documentation provides evidence of transfers to PROV, please refer to the *PROS 10/13 Disposal Guideline 4: Transfer of State Archives to PROV: Physical*: <https://www.prov.vic.gov.au/recordkeeping-government/document-library/pros-1013-g4-transfer-records-prov-physical>.

For information about the transfer process see the Transfer Topic Page on the PROV website: <https://www.prov.vic.gov.au/recordkeeping-government/transferring-records>.

2.5 Justification

Principle: Disposal actions and retention periods for public records must be justified.

There are no requirements under this Principle.

2.6 Planning

Principle: Records Disposal must be planned, regular and integrated into the agency's business processes and programs.

Requirement	Examples of Evidence
12. Transfer agreements with PROV are established before permanent records are prepared for transfer.	Records management program, business or work plans which incorporate record transfer activities. Record transfer documentation. Transfer plans. Correspondence from PROV acknowledging request to transfer. Completion of relevant transfer forms.

Requirement	Examples of Evidence
<p>13. Plans are in place for the transfer of permanent records as State Archives to the custody of PROV once administrative use has concluded, as part of a routine records management program.</p>	<p>Business or work plans which incorporate record transfer activities.</p> <p>Correspondence to PROV regarding the agency's intent to transfer permanent records as State Archives to PROV.</p> <p>Record usage statistics which indicate when administrative use has concluded.</p>
<p>14. Agencies must ensure that their transfer program² is sufficiently planned, resourced and undertaken.</p>	<p>Agency recordkeeping policies, procedures and schedules for record transfer.</p> <p>Agency procedures and policies documenting triggers to transfer records.</p> <p>Agency plans to transfer that outline the resource requirements and allocation.</p> <p>Correspondence from PROV acknowledging expression of interest to transfer records.</p>

Further Information

For information on what documentation provides evidence of transfers to PROV, please refer to the *PROS 10/13 Disposal Guideline 4: Transfer of State Archives to PROV: Physical*: <https://www.prov.vic.gov.au/recordkeeping-government/document-library/pros-1013-g4-transfer-records-prov-physical>.

For information about the transfer process see the Transfer Topic Page on the PROV website: <https://www.prov.vic.gov.au/recordkeeping-government/transferring-records>.

2.7 Timeliness

Principle: Public records must be disposed of in a timely manner.

Requirement	Examples of Evidence
<p>15. Permanent records are transferred to PROV as State Archives in accordance with an agreed schedule.</p>	<p>Transfer plan jointly agreed between PROV and the agency.</p>

Further Information

Please contact Appraisal and Documentation team at PROV via agency.queries@prov.vic.gov.au for further information on timeframes and transfer agreements.

² The Transfer Program is part of the overarching Disposal Program within an agency.

2.8 Security

Principle: Disposal of public records must be undertaken using a secure method so that the content is secure protected and is not inadvertently released or lost

Requirement	Examples of Evidence
16. Permanent Records are transferred to PROV using secure methods to ensure that records are not damaged, destroyed, lost or stolen.	Contracts with outsourced service providers include clauses regarding security methods to be used when transferring records. Internal policies and procedures detailing how records security requirements are fulfilled in relation to transfer.

Further Information

For information on what documentation provides evidence of transfers to PROV, please refer to the *PROS 10/13 Disposal Guideline 4: Transfer of State Archives to PROV: Physical*: <https://www.prov.vic.gov.au/recordkeeping-government/document-library/pros-1013-g4-transfer-records-prov-physical>.

For information about the transfer process see the Transfer Topic Page on the PROV website: <https://www.prov.vic.gov.au/recordkeeping-government/transferring-records>.

For information on the VERS encapsulated objects, please refer to the Victorian Electronic Records Strategy topic page: <https://www.prov.vic.gov.au/recordkeeping-government/a-z-topics/vers>.

3 References

Legislation

Public Records Act 1973 (Vic)

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

Standards

Archives of New Zealand (ANZ), 1999 S3 Standard for the transfer of records to Archives New Zealand, ANZ, Christchurch, New Zealand.

Public Record Office Victoria (PROV), 2017, VERS Standard, PROV, North Melbourne, viewed 7 April 2017: <https://www.prov.vic.gov.au/recordkeeping-government/about-standards-framework-policies/vers-standard>.

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

Other Resources

Archives Office of Tasmania (AOT), 2013, Recordkeeping Advice No. 12, Preparing Records for Transfer to the Archives Office, AOT, Hobart, Tasmania, viewed 7 April 2017: <https://www.informationstrategy.tas.gov.au/Records-Management-Principles/Pages/Numeric-List.aspx>.

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Queensland State Archives (QSA), 2017, Transfer Records, (QSA), Brisbane, Queensland, viewed 7 April 2017: <https://www.forgov.qld.gov.au/transfer-records>.

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