As part of PROV’s continuous review of the Standards Framework, we are now seeking feedback on PROS 19/03 Strategic Management Standard which was last issued in August 2019. We are also accepting comments on the Strategic Management Guideline.

Both documents can be viewed on the PROV website:

* [PROS 19/03 Strategic Management Standard](https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-strategic-management-standard)
* [Strategic Management Guideline](https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline)

Please use this Feedback Form for any comments and then email to Alison McNulty – alison.mcnulty@prov.vic.gov.au

Alternatively, you can email Alison directly with any general comments.

Feedback is due by Friday 25 November 2022.

**YOUR DETAILS**

|  |  |
| --- | --- |
| Name: |  |
| Organisation: |  |
| Email Address: |  |

**GENERAL COMMENTS – STANDARD**

|  |
| --- |
| *(general comments about the content, structure, useability etc)* |

**COMMENTS – PRINCPLES AND REQUIREMENTS**

**1. VALUING RECORDS**

|  |  |
| --- | --- |
| Principles and Requirements | Comments |
| **Principle** | Records must be treated as assets and managed according to their value and associated risk. |  |
| **Requirement 1** | Records created and held across the public office in all formats and business systems, must be identified and assigned an owner, who has responsibility for managing them in accordance with their value and associated risk. |  |

**2. ESTABLISHMENT, GOVERNANCE AND ACCOUNTABILITY**

|  |  |
| --- | --- |
| Principles and Requirements | Comments |
| **Principle** | An appropriately resourced records management program must be established and maintained, with effective governance and clear accountabilities. |  |
| **Requirement 1** | The head of the public office is accountable and responsible for organisational compliance with the Standards established under the *Public Records Act 1973*. The head of the public office is responsible for authorising strategies and policies and implementing a monitoring regime which measures organisational compliance and reports to PROV as required. |  |
| **Requirement 2** | An effective governance structure for records management must be established, maintained and incorporated into the organisational governance process. |  |
| **Requirement 3** | An appropriately resourced records management program must be established and maintained. |  |
| **Requirement 4** | Those responsible for records management must have the necessary expertise and skills. |  |
| **Requirement 5** | Those responsible for records management must be given the authority to ensure the records held in systems across the organisation are effectively managed from creation to disposal. |  |

**3. STRATEGIC PLANNING**

|  |  |
| --- | --- |
| Principles and Requirements | Comments |
| **Principle** | Records management must be strategically planned in alignment with other relevant strategies and endorsed, resourced and implemented, with regular monitoring and reporting. |  |
| **Requirement 1** | An executive endorsed records management strategy must be developed. This may be a separate document which aligns with other relevant strategies or can be an integrated part of a larger strategy.  |  |
| **Requirement 2** | The strategy must be resourced and systematically implemented, with records management progress monitored and regularly reported through the governance structure. |  |
| **Requirement 3** | Risks to records held in all formats across the organisation must be included in security, risk and business continuity planning with effective treatments implemented as needed. |  |

**4. POLICY**

|  |  |
| --- | --- |
| Principles and Requirements | Comments |
| **Principle** | Records management policy must be developed, endorsed at an executive level, regularly communicated and adhered to across the public office. |  |
| **Requirement 1** | An executive endorsed records management policy must be developed and regularly communicated across the organisation. This may be a separate document which aligns with other policies or be an integrated part of a larger policy |  |
| **Requirement 2** | All areas of the public office must adhere to the policy and this adherence must be monitored and reported on, with all remedial action taken where necessary. |  |

**5. DIGITAL TRANSITION**

|  |  |
| --- | --- |
| Principles and Requirements | Comments |
| **Principle** | Records must be created and managed digitally. |  |
| **Requirement 1** | Public offices must plan and progressively transform processes so that they become fully digital. |  |
| **Requirement 2** | Records must be created and managed digitally, unless there is a sound reason for creating and managing them in physical format. |  |

**6. ASSESSMENT AND MEASUREMENT**

|  |  |
| --- | --- |
| Principles and Requirements | Comments |
| **Principle** | Recordkeeping performance across the public office must be monitored and regularly assessed and reported on, with remedial action taken when necessary. |  |
| **Requirement 1** | Performance measures for recordkeeping practices across the public office must be set and regularly reported on through the standard organisational reporting processes. Where the public office has an Audit Program, recordkeeping must be included within this.  |  |
| **Requirement 2** | Remedial action must be resourced and implemented when issues and weaknesses are identified. |  |
| **Requirement 3** | When required by PROV, public offices must report to PROV on their records management performance or practices. |  |

**7. TRANSFERRING FUNCTIONS OUTSIDE THE VICTORIAN PUBLIC SECTOR**

|  |  |
| --- | --- |
| Principles and Requirements | Comments |
| **Principle** | When a function is transferred permanently outside the Victorian public sector, legislative instruments or agreements must specify arrangements for the public records created prior to the function transfer date to ensure that the public records are protected and remain accessible for as long as required. |  |
| **Requirement 1** | When a function is transferred to a non-government body, the original public records created prior to that transfer must remain with the responsible Victorian public office. Duplicate public records can be provided to the non-government body taking responsibility for the function. |  |
| **Requirement 2** | When a function is transferred to a government body outside of Victoria, the responsible Victorian public office must assess whether the original or duplicate public records are required by them to meet information needs and obligations. Approval must be given by the Keeper of Public Records before original public records can be transferred to the government body taking responsibility for the function. Any conditions set by the Keeper of Public Records must be met.  |  |

**8. TRANSFERRING FUNCTIONS BETWEEN VICTORIAN PUBLIC OFFICES**

|  |  |
| --- | --- |
| Principles and Requirements | Comments |
| **Principle** | When a function is transferred between Victorian public offices, arrangements for the affected records must be planned and completed to ensure needs and obligations can be met. |  |
| **Requirement 1** | All records of the function being transferred must be identified. This includes records held in organisational systems, in outsourced arrangements and in storage (digital and physical). |  |
| **Requirement 2** | The involved public offices must plan, resource and implement arrangements for the affected records. This includes confirmation from the receiving public office that records have been successfully transferred. |  |
| **Requirement 3** | The current records (and associated metadata) relating to the function must be transferred with it, in an accessible and usable format agreed between the organisations. (If needed, a duplicate of the records can be retained by the original public office). |  |
| **Requirement 4** | The minimum required retention periods for non-current records must be assigned before the transfer occurs. Where there is no current Disposal Authority, disposal authorisation must be obtained from the Keeper of Public Records in accordance with the Disposal Standard. |  |
| **Requirement 5** | Agreements must be made between the involved public offices and PROV for non-current records identified as being of permanent value to be transferred to PROV. |  |
| **Requirement 6** | Where permanent records of the function have been previously transferred to PROV, the transferring public office must notify PROV of the change of responsibility for the transferred function. |  |

**GENERAL COMMENTS – GUIDELINE**

|  |
| --- |
| *(general comments about the content, structure, useability etc)* |