As part of PROV’s continuous review of the Standards Framework, we are now seeking feedback on PROS 19/05 Create, Capture & Control Standard which was last issued in August 2019.

The Standard can be viewed on the PROV website:

* [PROS 19/05 Create, Capture and Control Standard](https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1905-create-capture-and-control-standard)

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

You can add your feedback to the comments column or use track changes to suggest amendments to the wording.

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

Feedback is due by **Friday 4 October 2024.**

**YOUR DETAILS**

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

**GENERAL COMMENTS**

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

**COMMENTS – PRINCIPLES AND REQUIREMENTS**

**1. CREATE AND CAPTURE**

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| --- | --- | --- |
| Current Principles and Requirements | Proposed Changes (in red)*(These are changes being considered by PROV after internal staff discussion)* | Your Feedback Please |
| **Principle** | Full and accurate records of activities and decisions must be systematically created and captured to meet organisational, government and community needs |  |  |
| **Req 1** | Public offices must determine:* what records are needed
* how the records should be described (i.e. required metadata)
* how the records should be created (i.e. responsibilities and processes)
* how these records are to be consistently and routinely captured (i.e. systems, processes, formats).

This determination must be based on the value and function of the records to the organisation, government and the community, considering both current and future needs. | Public offices must determine:* what records are needed
* how the records should be described (i.e. required metadata)
* how the records should be created (i.e. responsibilities and processes)
* how these records are to be consistently and routinely captured (i.e. systems, processes, formats).

This includes determining the points at which data/information needs to be captured as a record as it is updated/ amended and how this should be done. This determination must be based on the current and future needs of the organisation, government and the community and ensure that obligations can be met. |  |
|  |  | **Proposed NEW Requirement** Where records are created by or through the use of artificial intelligence technologies:* the processes and systems used must be documented
* the source data is appropriate
* processes to check and confirm the accuracy of the records generated must be in place and overseen by an appropriately skilled human being with the appropriate level of authority risks are identified and addressed.
 |  |
| **Req. 2** | Public offices must create, capture, manage and retain records in digital formats only, whenever practicable. |  |  |
| **Req. 3** | The rights of individuals or groups to correct or add information to the records created and captured by public offices must be upheld to the fullest extent possible, in accordance with legislation and government policy. |  |  |

**2. PRESERVE**

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| --- | --- | --- |
| Principles and Requirements | Proposed Changes (PROV Internal Feedback) | External Feedback |
| **Principle** | Records must be preserved for the period of time they must be retained | Records must be preserved and usable for authorised purposes for the period of time they must be retained |  |
| **Req. 1** | All records must be maintained in a format which is expected to survive and be readable for the required life of the record.Physical records must be in a format and made of materials which mean they are likely to survive and be readable for the required life of the record.Digital records must be in a format that is expected to survive and remain accessible and readable using readily available software for the required life of the record. | All records must be maintained in a format which is expected to survive and be usable for the required life of the record.Physical records must be in a format and made of materials which mean they are likely to survive and be usable for the required life of the record.Digital records must be in a format that is expected to survive and remain usable using readily available software for the required life of the record. |  |
| **Req. 2** | All records must have sufficient descriptive information attached to them to allow access and management over time. Typically, for both physical and digital records this information is represented as metadata held in systems. The minimum metadata required for all records is specified in PROS 19/05 S2 Minimum Metadata Requirements Specification. | All records must have sufficient descriptive information (metadata) to enable them to be identified, understood and managed for their mandatory retention period. The minimum metadata required for all records is specified in PROS 19/05 S2 Minimum Metadata Requirements Specification. |  |
| **Req. 3** | All records must be managed to facilitate migration or relocation over time.Digital records must be held in systems that provide effective export of the records (including metadata) from the system.Physical records must have sufficient information maintained to identify their content and location and must be held in facilities and under arrangements which mean they can be relocated efficiently. | All records must be managed to facilitate migration from one system or storage environment to another.Digital records must be held in systems/storage environments that allow effective export of the records (including metadata) to its replacement.Physical records must have sufficient metadata to enable them to be identified and relocated effectively. They must be held in facilities and under arrangements which facilitate their relocation when necessary. |  |
| **Req. 4** | Permanent value digital records must be in a form that allows efficient capture as VERS encapsulated objects (VEOs). This requires that:1. the record content be in an approved long term sustainable format (or can easily, reliably and cheaply converted to such a format). Approved long term sustainable formats are specified in PROS 19/05 S3 Long Term Sustainable Formats Specification.
2. the minimum metadata for VEOs is associated with each record. The minimum metadata required for VEOs is specified in PROS 19/05 S2 Minimum Metadata Requirements Specification.
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**3. CONTROL**

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| --- | --- | --- |
| Principles and Requirements | Proposed Changes (PROV Internal Feedback) | External Feedback |
| **Principle** | Controls must be designed and applied to processes and systems to ensure records are protected from unauthorised activity and can be trusted as credible evidence | Controls must be designed and applied to processes and systems to ensure records are protected from unauthorised activity and can be trusted as credible evidence. The rigour applied to the controls must be consistent with the current and future value of the records to the public office, government and the community and the impact if controls fail. |  |
| **Req. 1** | Authenticity and reliability controls must be designed into processed and systems to ensure that records can be trusted and relied upon as credible and verifiable evidence. Authentic and reliable records:* are created through routine and repeatable processes
* are of undisputed origin
* can be trusted to be genuine.
 | Authenticity and reliability controls must be designed into processes and systems to ensure that records can be trusted and relied upon as credible and verifiable evidence. Authentic and reliable records:* are created through routine and repeatable processes
* are of undisputed origin

can be trusted to be genuine. |  |
| **Req. 2** | Protection and security controls must be designed and implemented to ensure records are only accessed, amended, used, released or disposed of, as authorised.  |  |  |
|  |  | **Proposed NEW Requirement** Controls must be periodically checked / tested to ensure they are effective and appropriate. |  |

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