

Notice of Variation

Control Specification PROS 11/09 S1 Variation 2

(Section 12)

Control Specification One: Control

(PROS 11/09 S1)

Variation 2:

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the *Control Standard: Specification One: Control*, issued as Public Record Office Standard (PROS) 11/09 S1 on 25 November 2011, as follows:

Extension of the application of this Specification until 31 December 2019

This Variation shall have effect from its date of issue.


Justine Heazlewood
Director and Keeper of Public Records

Date of issue: 22/02/2019



Public Record Office Victoria
PROS 11/09
Control

Specification

1

Control

Version Number: 1.3

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Expiry Date: 31/12/2019

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Copyright Statement

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Acknowledgements

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Version	Version Date	Details
1.0	25/11/2011	Released
1.1	17/07/2013	Copyright changed to Creative Commons license
1.2	22/06/2018	Extension of Expiration to 31/12/2018
1.3	25/02/2019	Extension of Expiration to 31/12/2019

1. Introduction

Managing the control of public records requires the development, implementation and alignment of recordkeeping systems and schemes across the agency. This includes:

- Relevant metadata associated with public records, regardless of format or system they are located within, to ensure that the context of records continues to be understood over time;
- Aligned classification schemes that are mapped to other recordkeeping processes, such as security or access provisions and disposal programmes, to support records management practice; and
- Records tracking systems that are capable of accurately monitoring and reporting on actions relating to business records and their physical location.

1.1. Purpose

Public Record Office Victoria (PROV) Standards contain mandatory principles for the management of public records within Victoria. Standards issued by the Keeper of Public Records are supported by Specifications that contain the measurable, mandatory requirements that agencies must comply with in order to meet the principles.

This Specification provides a detailed set of requirements which define the criteria for the implementation of the *Control Standard*. Agencies must meet all the requirements detailed in this Specification to ensure they comply with the principles articulated in the Standard.

The implementation of the requirements within this Specification will enable effective management of control activities, including:

- Maintaining the context of records over time through assigning relevant metadata to all business records;
- Seamless records management through alignment of classification schemes, access provisions and disposal programmes; and
- Accurate tracking of the location and actions relating to all business records.

Each requirement within this Specification is individually numbered under the appropriate principle. Examples of evidence that may be used to demonstrate principles have been met are given alongside the appropriate requirement.

1.2. Scope

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

This Specification covers the activities associated with the control of public records in agency custody across the Victorian Government. Please note that access controls, including security classifications, are located within the *Access Standard* and related documentation.

For definitions of terms used within this Specification, please refer to the *Control Standard*.

1.3. Related Documents

This Specification supports the *Control Standard* (PROS 11/09) and is supported by a number of Guidelines as shown in the following relationship diagram:

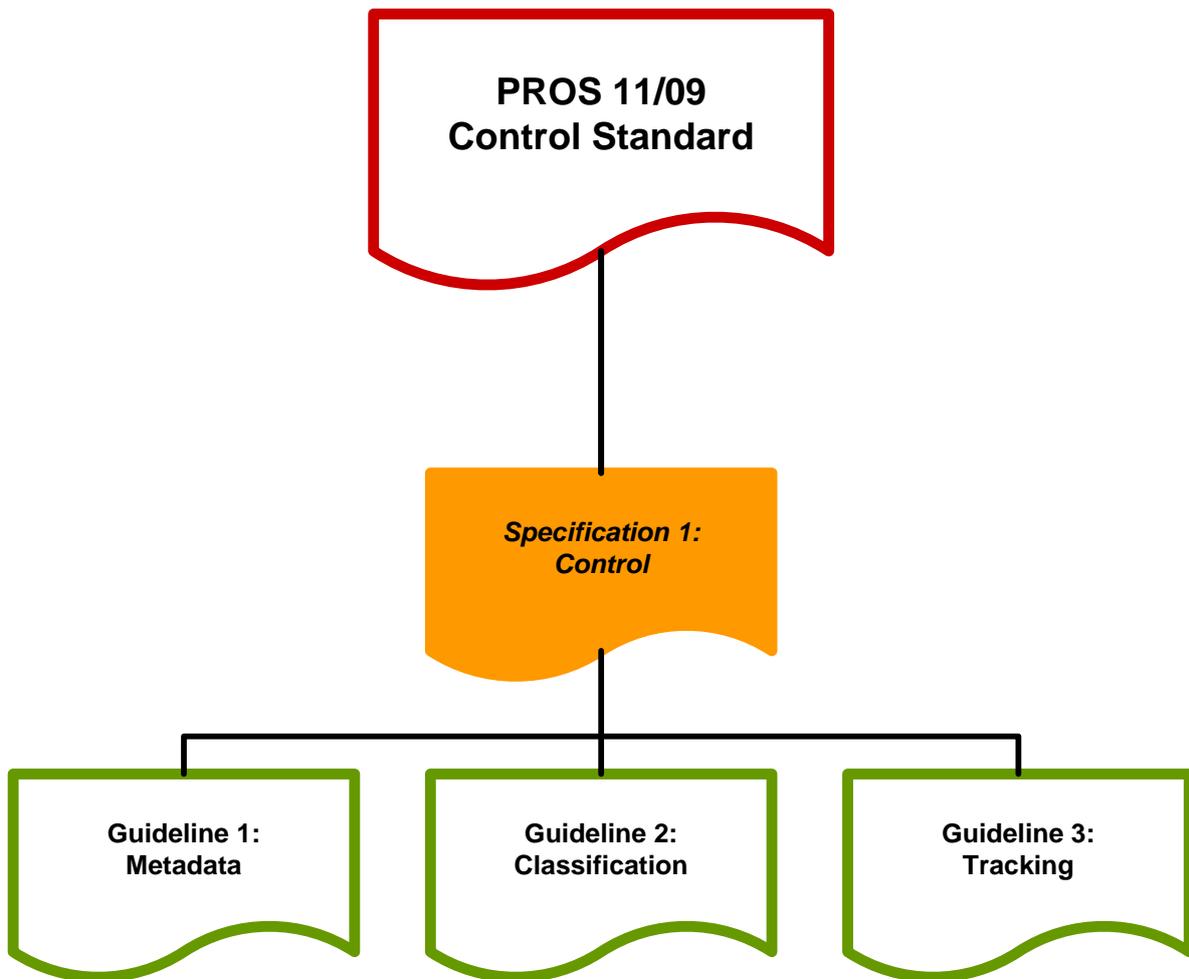


Figure 1: Relationship Diagram

2. Requirements

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

2.1. Metadata

Principle: Metadata elements needed for the structure, context and management of business records to be used and understood over time are captured, maintained and connected with the records.

Requirement	Examples of Evidence
<p>1. Metadata schemes are developed and implemented that meet agency business needs and are compliant with legislative and regulatory requirements, including PROV Recordkeeping Standards.</p>	<p>Assessment reports that identify what metadata elements are required to meet agency business needs and comply with PROV Standards.</p> <p>Metadata schemes that cover business records address agency business requirements and comply with PROV Standards.</p> <p>Procedures that outline when and where the metadata is to be captured, by whom and how.</p> <p>Audit reports that demonstrate that the metadata is being captured for each business record as required.</p>
<p>2. The minimum metadata collected cover the following metadata attributes:¹</p> <ul style="list-style-type: none"> - Identity; - Description; - Use; - Event History; - Event Plan; and - Relation. 	<p>Metadata schemes for all business records or systems that contain records that include the minimum metadata required.</p> <p>System designs and technical specifications that detail what metadata is being captured and related to each business record and include the minimum metadata required.</p> <p>Audit reports that demonstrate that the minimum metadata is being captured for each business record as required.</p>
<p>3. The minimum metadata collected are consistent with the <i>International Standard on Managing Metadata for Records</i> (ISO 23081: 2009) and <i>PROS 99/007 Management for Electronic Records</i>.</p>	<p>Metadata schemes for all business records or systems that contain records that include the minimum metadata required and how it relates to ISO 23081 and PROS 99/007.</p> <p>System designs and technical specifications that detail what metadata is being captured and related to each business record includes the minimum metadata required and how it relates to ISO 23081 and PROS 99/007.</p>

¹ Please refer to Appendix One for more information about the metadata attributes identified.

<i>Requirement</i>	<i>Examples of Evidence</i>
<p>4. Controls are implemented to assess and verify the accuracy of metadata.</p>	<p>Procedures that describe how to assess and implement controls for the improvement of metadata accuracy.</p> <p>Continuous improvement programme and associated procedures demonstrate how and when the metadata is checked for accuracy.</p> <p>Audit reports demonstrate that metadata recorded is checked for accuracy and incidents of missing, inconsistent or inaccurate metadata are reported.</p>

Further Information

For information on how to develop and implement metadata schemes and how the metadata attributes may relate to the VERS Metadata Scheme please see the *Control Guideline 1: Metadata* [Forthcoming].

For information on how to undertake audits, please see the *Operations Management Guideline 5: Compliance Audits* [Forthcoming].

2.2. Classification

Principle: *Business records are classified in accordance with business classification schemes that are aligned and mapped to access controls and disposal programmes.*

Requirement	Examples of Evidence
<p>5. One or more business classification schemes are developed, implemented and maintained in consultation with stakeholders to meet the agency's business needs.</p>	<p>Reports that cover how stakeholder consultation was undertaken and used in the development of the business classification scheme.</p> <p>Completed business classification scheme or schemes that cover all areas of agency business. Procedures that document how business records are to be classified in accordance with the classification scheme.</p> <p>Continuous improvement programme and associated procedures that demonstrate how and when the business classification scheme is monitored for improvement.</p> <p>Audit reports that demonstrate business records are being classified in accordance with the relevant business classification scheme.</p>
<p>6. Business processes, access controls and disposal programmes are assessed to determine what can accurately be mapped to the business classification schemes used by the agency and the results of the assessment are implemented.</p>	<p>Documents that record the relationships of business processes, access controls and disposal programme with the business classification scheme.</p> <p>Security access protocols, permissions or control documents.</p>
<p>7. Current business records, regardless of their format or which system they are in, are classified in accordance with a business classification scheme.</p>	<p>Business classification scheme or schemes that cover business records in all systems.</p> <p>Procedures that document how business records are to be classified in accordance with the classification scheme.</p> <p>Audit reports that demonstrate business records are being classified in accordance with the relevant business classification scheme.</p>
<p>8. Where multiple business classification schemes are used, the language used within these schemes are aligned or mapped with each other.</p>	<p>Documents that demonstrate how the different terms used for multiple systems are aligned, such as a central functional thesaurus covering all terms.</p>

Further Information

For information on the development and implementation of business classification schemes, including mapping schemes to disposal and security, please see the *Control Guideline 2: Classification* [Forthcoming].

For information on how to undertake compliance audits, please see the *Operations Management Guideline 5: Compliance Audits* [Forthcoming].

For information on developing a Continuous Improvement Programme for records management, please see the *Operations Management Guideline 6: Continuous Improvement*.

2.3. Tracking

Principle: *Business records are accurately tracked using systems that create, capture and maintain information about the movement of and actions on records.*

Requirement	Examples of Evidence
<p>9. The movement of business records are accurately tracked, including when they are migrated from one system to another or transferred to an external location or party.</p>	<p>Register (or similar) of movement for all business records. This may include Information Asset Registers, if they also serve to track the movements of specific records.</p> <p>Procedures and business rules for tracking the movement of all business records.</p> <p>Migration, mapping or porting documentation that identifies where data has come from and where data has been moved to.</p> <p>Business record metadata captured includes up-to-date movement information.</p> <p>Audit reports demonstrate that all business records are tracked in accordance with the procedures.</p>
<p>10. Actions related to business records are accurately tracked and maintained.</p>	<p>Register (or similar) of actions relating to all business records. This may include Information Asset Registers, if they also serve to track the actions relating to specific records.</p> <p>Procedures and business rules for tracking the actions relating to all business records.</p> <p>Business record metadata captured includes up-to-date information on the actions related to the record.</p> <p>Audit reports demonstrate that all business records are tracked in accordance with the procedures.</p>

Further Information

For information on methods for tracking records, please see the *Control Guideline 3: Tracking* [Forthcoming].

For information on how to undertake compliance audits, please see the *Operations Management Guideline 5: Compliance Audits* [Forthcoming].

3. References

National Archives of Australia (NAA) 2003, *Overview of Classification Tools for Records Management*, NAA, Canberra, viewed 3 May 2011, <http://www.naa.gov.au/Images/classification%20tools_tcm2-1030.pdf>.

Standards Australia International (SAI) 2011, *HB 5031: Records Classification Handbook*, SAI, Sydney.

State Records Authority of New South Wales (SRANSW) 1993, revised 2004, *File Format: A Guide to the Physical Design and Construction of Files*, SRANSW, Sydney, viewed 3 May 2011, <<http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/documents/recordkeeping-guidelines/File%20format.pdf>>.

State Records Authority of New South Wales (SRANSW) 2005, *Recordkeeping in Brief: 42: Checklist for Assessing Business Systems*, SRANSW, Sydney, viewed 3 May 2011, <<http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/recordkeeping-in-brief/recordkeeping-in-brief-42>>.

State Records Authority of New South Wales (SRANSW) 2010, *Recordkeeping in Brief 57: Managing Shared Drives*, SRANSW, Sydney, viewed 3 May 2011, <<http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/recordkeeping-in-brief/rib-57-managing-shared-drives>>.

State Records of South Australia (SRSA) 2002, *Developing a Thesaurus: Guideline*, SRSA, Adelaide, viewed 3 May 2011, <http://www.archives.sa.gov.au/files/management_guidelines_developingthesaurus.pdf>.

State Records of South Australia (SRSA) 2009, *Adequate Records Management in Perspective: Classifying Official Records*, SRSA, Adelaide, viewed 3 May 2011, <http://www.archives.sa.gov.au/files/management_ARM_classifying.pdf>.

State Records of South Australia (SRSA) 2009, *Recordkeeping Metadata*, SRSA, Adelaide, viewed 3 May 2011, <http://www.archives.sa.gov.au/files/management_ARM_recordkeepingmetadata.pdf>.

Victorian Auditor General's Office (VAGO) 2008, *Report on Records Management in the Victorian Public Sector*, VAGO, Melbourne, viewed 3 May 2011, <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 3 May 2011, <http://www.audit.vic.gov.au/reports_publications/reports_by_year/2008/20080730_records_checklist.aspx>.

Legislation

Crimes Act 1958 (Vic)

Electronic Transactions (Victoria) Act 2000 (Vic)

Evidence Act 2008 (Vic)

Financial Management Act 1994 (Vic)

Freedom of Information Act 1982 (Vic)

Health Records Act 2001 (Vic)

Information Privacy Act 2000 (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

Archives New Zealand (ANZ) 2008, *Create and maintain recordkeeping standard S7*, ANZ, Wellington, viewed 3 May 2011, <http://archives.govt.nz/sites/default/files/S7_2.pdf>.

Archives New Zealand (ANZ) 2008, *Electronic Recordkeeping Metadata Standard S8*, ANZ, Wellington, viewed 3 May 2011, <http://archives.govt.nz/sites/default/files/S8_0.pdf>.

National Archives of Australia (NAA) 2008, *Australian Government Recordkeeping Metadata Standard*, NAA, Canberra, viewed 3 May 2011, <http://www.naa.gov.au/Images/AGRkMS_Final%20Edit_16%2007%2008_Revised_tcm2-12630.pdf>.

Public Record Office Victoria (PROV) 2003, *PROS 99/007 v2.1 Specification 2: VERS Metadata Scheme*, PROV, North Melbourne, viewed 3 May 2011, <http://210.8.122.120/vers/standard/pdf/99-7-2_Std_ver2-1.pdf>.

Public Record Office Victoria (PROV) 2003, *Advice 11: Advice on VERS Metadata Scheme PROS 99/007 v2.0 Specification 2*, PROV, North Melbourne, viewed 3 May 2011, <http://210.8.122.120/vers/standard/pdf/99-7-2_Advice_ver_2-0.pdf>.

Queensland State Archives (QSA) 2009, *Information Standard IS40: Recordkeeping*, QSA, Brisbane, viewed 3 May 2011, <http://www.qgcio.qld.gov.au/SiteCollectionDocuments/Architecture%20and%20Standards/Information%20Standards/Current/is40_print.pdf>.

Standards Australia International (SAI) 2002, *AS ISO 15489.1 Australian Standard: Records Management Part 1: General*, SAI, Sydney.

Standards Australia International (SAI) 2002, *AS ISO 15489.2 Australian Standard: Records Management Part 2: Guidelines*, SAI, Sydney.

Standards Australia International (SAI) 2003, *AS 5090 Australian Standard: Work Process Analysis for Recordkeeping*, SAI, Sydney.

Standards Australia International (SAI) 2004, *AS ISO 23081.1 Australian Standard: Information and Documentation: Records Management Processes: Metadata for Records: Part 1: Principles*, SAI, Sydney.

Standards Australia International (SAI) & Standards New Zealand 2007, *AS/NZS ISO 23081.2 Australian / New Zealand Standard: Information and Documentation: Records Management Processes: Metadata for records: Part 2: Conceptual and implementation issues*, Standards Australia International, Sydney.

State Records Authority of New South Wales (SRANSW) 2008, *Standard on Digital Recordkeeping: Standard No 10*, SRANSW, Kingswood, viewed 3 May 2011, <<http://www.records.nsw.gov.au/documents/recordkeeping-standards/Standard%20No%20%2010%20-%20Digital%20recordkeeping.pdf>>.

State Records of South Australia (SRSA) 2008, *Adequate Records Management Standard*, SRSA, Adelaide, viewed 3 May 2011, <http://www.archives.sa.gov.au/files/management_standard_ARM.pdf>.

State Records of South Australia (SRSA) 2009, *South Australian Recordkeeping Metadata*, SRSA, Adelaide, viewed 3 May 2011, <http://www.archives.sa.gov.au/files/management_standard_metadata.pdf>.

State Records of South Australia (SRSA) 2009, *EDRMS Design Standard*, SRSA, Adelaide, viewed 3 May 2011, <http://www.archives.sa.gov.au/files/management_standard_edrms_design.pdf>.

Other Resources

For more information about records management controls, contact:

Government Services
Public Record Office Victoria
Ph: (03) 9348 5600
Fax: (03) 9348 5656
Email: agency.queries@prov.vic.gov.au
Web: www.prov.vic.gov.au

Appendix One: Metadata Attributes Table

<i>Metadata Attribute</i>	<i>Description</i>
Identity	'The identity metadata group identifies the entity. Examples of the metadata elements that appear in this category are entity type, aggregation and registration identifier.' ²
Description	'The description metadata group contains elements required to determine that this is the entity that is required for use. Examples of metadata elements that appear in this category include: title, abstract and external identifiers.' ³
Use	'The use metadata group contains information that facilitates long-term use of the entity. Examples of metadata elements that appear in this category include: technical environment, access, rights and language.' ⁴
Event Plan	'The event plan metadata group contains information used to manage the entity. The metadata in this group consist of a linked sequence of metadata and independent metadata elements. Examples of metadata elements that appear in this category relevant to the records entity include: type, description, date/time and relation (linked), event trigger and relation.' ⁵
Event History	'The event history metadata group documents past records events and other management events on both the entity and its metadata. For each event it specifies the type of event, what happened, when it took place, why it occurred, and who carried it out. The metadata in this element are a sequence documenting a specific event. Examples of metadata elements that appear in this category include: date/time, type, description and relation (linked).'6
Relation	'The relation metadata group points to a relationship entity or describes the relationships between this entity and other entities.' ⁷

² International Organisation for Standardisation (ISO) 2009, *ISO 23081-2 Information and Documentation – Managing Metadata for Records – Part 2: Conceptual and Implementation Issues*, ISO, Switzerland, ss. 8.1 p. 15.

³ *ISO 23081-2* 2009 ss. 8.1 p. 15.

⁴ *ISO 23081-2* 2009 ss. 8.1 p. 15.

⁵ *ISO 23081-2* 2009 ss. 8.1 p. 15.

⁶ *ISO 23081-2* 2009 ss. 8.1 pp. 15-16.

⁷ *ISO 23081-2* 2009 ss. 8.1 p. 16.