

Public Record Office Victoria

STRATEGIC MANAGEMENT STANDARD PROS 19/03

Version number: 1.0
Issue Date: 1 August 2019
Expiry Date: 1 August 2029

This Standard sets out the principles and requirements that Victorian public offices must comply with in relation to the establishment, governance and strategic management of the records management program.

The Strategic Management Standard is comprised of the following areas:

- Valuing records
- Establishment, governance and accountability
- Strategic planning
- Policy
- Digital transition
- Assessment and measurement
- Transferring functions outside the Victorian public sector
- Transferring functions between Victorian public offices

Introduction

Authority of 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 public offices to apply those Standards to records under their control.

Heads of public offices are responsible under section 13b of the *Public Records Act 1973* for carrying out a program of efficient management of public records. The program of records management needs to cover all records created by the public office, in all formats, media and systems across the organisation.

The Standards support the Victorian Electronic Record Strategy (VERS) Digital Forever 2018-2021¹, which is designed to ensure the creation, capture and preservation of authentic, complete and meaningful digital records.

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.

Obligation

It is mandatory for all Victorian public offices to follow the principles and comply with the requirements of the Standards issued by the Keeper.

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¹ The previous *PROS15/03 Standard for the encapsulation of digital records* has been revoked and the requirements have now been included in the *PROS19/05 Create, Capture and Control Standard* and associated Specifications.

Principles & Requirements

1. VALUING RECORDS

PRINCIPLE: Records must be treated as assets and managed according to their value and associated risk

REQUIREMENTS

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

PRINCIPLE: An appropriately resourced records management program must be established and maintained, with effective governance and clear accountabilities

REQUIREMENTS

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 the Public Record Office Victoria (PROV) as required.
2. An effective governance structure for records management must be established, maintained and incorporated into the organisational governance processes.
3. An appropriately resourced records management program must be established and maintained.
4. Those responsible for records management must have the necessary expertise and skills.
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

PRINCIPLE: Records management must be strategically planned in alignment with other relevant strategies and endorsed, resourced and implemented, with regular monitoring and reporting

REQUIREMENTS

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.
2. The strategy must be resourced and systematically implemented, with records management progress monitored and regularly reported through the governance structure.
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

PRINCIPLE: Records management policy must be developed, endorsed at an executive level, regularly communicated and adhered to across the public office

REQUIREMENTS

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.
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

PRINCIPLE: Records must be created and managed digitally

REQUIREMENTS

1. Public offices must plan and progressively transform processes so that they become fully digital.
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

PRINCIPLE: Recordkeeping performance across the public office must be monitored and regularly assessed and reported on, with remedial action taken when necessary

REQUIREMENTS

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.
2. Remedial action must be resourced and implemented when issues and weaknesses are identified.
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

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.

REQUIREMENTS

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.
2. When a function is transferred to a government body outside 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

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.

REQUIREMENTS

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).
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.
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).
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.
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.
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.

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