

# Public Record Office Victoria

---

## OPERATIONAL MANAGEMENT STANDARD PROS 19/04

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 to ensure effective records management operations.

The Operational Management Standard is comprised of the following areas:

- System planning and procurement
- System maintenance
- Processes
- Training and awareness
- Contracting

# 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 2018-2021<sup>1</sup>, 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.

# Table of Contents

<b>Introduction</b>	<b>2</b>
Authority of Standards	2
Obligation	2
<b>Principles &amp; Requirements</b>	<b>3</b>
1. SYSTEM PLANNING AND PROCUREMENT	3
2. SYSTEM MAINTENANCE	3
3. PROCESSES	3
4. TRAINING AND AWARENESS	4
5. CONTRACTING	4

---

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 The previous *PROS15/03 Standard for the encapsulation of digital records* has been revoked and the requirements have now been included in the *PROS19/05 Create, Capture and Control Standard* and associated Specifications.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

**PRINCIPLE:** Recordkeeping requirements must be identified and inform system development and procurement decisions

### REQUIREMENTS

1. When systems are being procured or developed, recordkeeping requirements must be determined and addressed.
2. Recordkeeping systems must be regularly reviewed for their suitability in meeting the recordkeeping needs and obligations of the organisation.

## 2. SYSTEM MAINTENANCE

**PRINCIPLE:** Systems which hold records must be appropriately maintained

### REQUIREMENTS

1. Maintenance must be resourced and routinely undertaken, to ensure that systems which hold records are reliable and operate effectively.
2. When systems which hold records undergo transition, arrangements must ensure that the records are protected and remain accessible for as long as lawfully required. Some examples of transition are system upgrade, replacement or decommission and changes to service or hosting arrangements (e.g. outsourcing/ cloud arrangements).

## 3. PROCESSES

**PRINCIPLE:** Recordkeeping requirements must be designed into processes, so that records are routinely and automatically created and systematically managed

### REQUIREMENTS

1. When processes are being determined, recordkeeping requirements must be considered and designed into the process. Records needed for organisational reasons and to meet obligations must be created and managed as part of the process, as automatically and systematically as possible.

## 4. TRAINING AND AWARENESS

**PRINCIPLE: Training and awareness programs ensure recordkeeping requirements and responsibilities are understood and applied across the public office**

### REQUIREMENTS

1. Ongoing training and awareness programs covering recordkeeping requirements, processes and responsibilities must be developed and implemented across the organisation.
2. The effectiveness of training and awareness programs and activities must be measured, with improvements made as necessary.

## 5. CONTRACTING

**PRINCIPLE: Agreements for contracting services, programs or products for a public office or on behalf of a public office specify requirements for recordkeeping**

### REQUIREMENTS

1. When contracting a provider to deliver services, programs or products to the public office or on behalf of the public office, recordkeeping requirements must be identified and included in contracts and agreements. Examples include when a public office contracts a data storage provider or a non-government organisation to deliver services on their behalf.
2. Provision must be made for any permanent records to be transferred to PROV, at the appropriate time.

### Copyright Statement

© State of Victoria 2019



Except for any logos, emblems, and trade marks, this work is licensed under a Creative Commons Attribution 4.0 International license, to the extent that it is protected by copyright. Authorship of this work must be attributed to the Public Record Office Victoria. To view a copy of this license, visit <https://creativecommons.org/licenses/by/4.0/legalcode>

### Disclaimer

The State of Victoria gives no warranty that the information in this version is correct or complete, error free or contains no omissions. The State of Victoria shall not be liable for any loss howsoever caused whether due to negligence or otherwise arising from the use of this Standard.