

Public Record Office Victoria

CREATE, CAPTURE AND CONTROL STANDARD PROS 25/02

Version number: 1.0
Issue Date: 3 February 2025
Expiry Date: 3 February 2035

This Standard sets out the principles and requirements that Victorian public offices must comply with in relation to the creation, capture and control of records. It includes requirements for the Victorian Electronic Record Strategy (VERS).

The Create, Capture and Control Standard is comprised of the following areas:

- Create and capture
- Preserve
- Control

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.

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

Introduction	2
Authority of Standards	2
Obligation	2
Principles & Requirements	3
1. CREATE AND CAPTURE	3
2. PRESERVE	4
3. CONTROL	4

Principles & Requirements

1. CREATE AND CAPTURE

PRINCIPLE: Full and accurate records of activities and decisions must be systematically created and captured to meet organisational, government and community needs

REQUIREMENTS

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 public office, government and community.
2. Where records are created by or through use of artificial intelligence (AI) technologies:
 - it must be made clear that AI was used in the creation of the records
 - the processes and systems/tools used must be documented¹
 - the source data must be appropriate, accurate and free of unfair bias
 - processes to check and confirm the accuracy of records generated must be in place and overseen by an appropriately skilled human being with the appropriate level of authority
 - risks must be identified and addressed.
3. Public offices must create, capture, manage and retain records in digital formats only, whenever practicable.
4. Public offices must not collect and keep more personal, sensitive or confidential information than is necessary for their purposes.
5. 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.

¹ This should include details of the algorithm(s) used where known.

2. PRESERVE

PRINCIPLE: Records must be preserved and usable for authorised purposes for the period of time they must be retained

REQUIREMENTS

1. All records must be maintained in a format which is expected to survive and be useable 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 records².
Physical records must be in a format and made of materials which mean they are likely to survive and be useable for the required life of the record.
2. All records must have sufficient descriptive information (such as metadata) to enable them to be identified, understood, accessed and managed for their minimum mandatory retention period. The metadata must be sufficient for enabling the effective migration/export/relocation of the records.
See PROV's Minimum Metadata Requirements Specification.
3. Permanent value digital records must be in a form that allows efficient capture as VERS encapsulated objects (VEOs). This requires that:
 - a) the record content be in an approved long term sustainable format (or can easily, reliably and cheaply be converted to such a format). See PROV's Long Term Sustainable Format Specification.
 - b) the minimum metadata for VEOs is associated with each record. See PROV's Minimum Metadata Requirements Specification.

3. CONTROL

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. The controls applied should be proportionate to the value of the records to the public office, government and community and the risks in relation to their loss or unauthorised use

REQUIREMENTS

1. 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.

² Proprietary formats should be avoided where possible. If they do need to be used, mitigations should be put in place to ensure records can be accessed and used for the required life of the records.

-
2. Protection and security controls must be designed and implemented to ensure records are only accessed, amended, used, released or disposed of, as authorised.
-
3. Controls should be routinely assessed to ensure they are effective. This assessment should be proportionate to value and risk.
-

Copyright Statement

© State of Victoria 2025



Except for any logos, emblems, and trademarks, 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.