|  |  |
| --- | --- |
| **Version number** | **The version number of the approved plan** |
| **Approved by** | [First name Surname], [Position title i.e. CEO] |
| **Endorsed by** | [First name Surname], [Position title e.g. Assistant Director, Senior manager] |
| **Date approved on** | dd/mm/yyyy |
| **Effective date** | dd/mm/yyyy |
| **Last amendment date** | dd/mm/yyyy |
| **Expiry date** | dd/mm/yyyy |
| **Related documents** | Name of related document(s) |
| **Business owner** | Title of the person responsible for the implementation and management of this plan |
| **Superseded documents** | Documents replaced by this plan |
| **Document control number** | Registration or control number applied to this plan (if applicable) |

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**How to use this template for planning how to determine the required retention for records held in APROSS**

The *PROS 20/02 Storage Standard* has the following requirement.

For physical records already held in an APROSS as at 17/12/2020:

* Public offices must develop a plan detailing the actions they will take to determine required retention periods for those holdings where this is not known. The plan must meet requirements specified by PROV, be approved by the head of the public office or their delegate and provided to PROV upon request.

This template has been designed to meet the PROV requirements for the plan. However, public offices can adapt this template, copy sections across to their own organisational document formats or create an entirely new plan, as long as it includes the required components. These are the minimum requirements – the plan may be more detailed. In some cases, this plan might be part of a larger Disposal Plan.

Note – this plan only needs to be provided to PROV in cases where PROV requests this.

The purple text in this template provides guidance. **Remove it from the final version of your Plan for determining retention requirements for records in APROSS.**

# Introduction

Under the *Public Records Act 1973*, Victorian public offices are required to comply with the Recordkeeping Standards and Specifications set by the Public Record Office Victoria (PROV). This plan addresses one of the requirements of the *PROS 20/02 Storage Standard*.

## 1.1 Authorisation, ownership, duration and review

This plan was approved by [Individual, title, section area/business unit] on [date].

[Section area/Business Unit] will be responsible for implementing and managing this plan.

This plan will be reviewed by [Records manager or title of other responsible officer, Business Unit] every [Insert review period]) and will expire after a period of [Insert duration period].

Implementation of this plan is supported by [Insert references to relevant business cases, business plans, project management plans, budgets and other documentation.]

Progress with implementing this plan will be monitored and reported to [insert name of committee or senior / executive manager].

# APROSS holdings

## High level summary of APROSS holdings

The goal of this table is to set out the extent of the work which needs to be undertaken.

|  |  |
| --- | --- |
| Category | Quantity of records  Use this column to specify the quantity of records falling into each category. This can be in number of boxes or the linear metres or linear kilometres. |
| Records where the required retention period is known |  |
| Records where the required retention period is not known |  |
| Records where the required retention period needs to be checked | You may not have any holdings which fall into this category, in which case delete this row. |
| **TOTAL QUANTITY** |  |

## Record Holdings and Priority for Action

The goal of this table is to break down your APROSS holdings into record collections for planning and prioritisation. The extent to which you can break the holdings down will depend on how much you know about the records.

If you don’t know very much about the records, the collection name will necessarily be very high level. For example, in cases where your office has inherited records due to machinery of government changes.

If you have a very large number of collections you may decide not to include them all in this initial plan. For example you may choose to include the 20 collections which make up the bulk of holdings or those you believe are of greatest importance.

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Collection number  Number each collection for easy reference | Description of record collection  Examples: Community Sporting Grant Applications, Legal and Policy Branch Files, Inwards Correspondence | Date range | Agency which created the records | Agency & Business unit which has responsibility for the collection currently | Quantity of records  Number of boxes , linear metres or kilometres | Format of records (e.g. files, volumes, cards, plans) | Where the records are stored  Use this column if holdings are stored in multiple facilities | Assessment of priority – high, medium, low  Possible reasons for assessing work on a record collection as being high priority are:   * probably includes permanent value records * probably includes large quantities of records which could be lawfully destroyed * would be quick and easy to determine retention as RDA in place and records are well described and all / mainly include the same information * could combine with other work needed on the records – for example, the records are critical but difficult to retrieve so need to be documented more fully * Business unit which has responsibility for the records is prepared to supervise / undertake / pay for the work. | Reason for this assessment  Specify the reason(s) for the priority rating |
| 1 |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |  |  |  |

# Planned program for determining or checking retention requirements

## Preparation

Detail here any activities which need to occur before work on the record holdings can commence and the timeframes for them. For example, procuring a contractor to undertake the work, obtaining approval and funding for the project, checking that there is current Retention and Disposal Authorisation coverage for the record holdings.

## Year One

Use these tables to plan the program for each year. A 3 or 5 year plan is suggested but you may choose to plan for a shorter or longer period. The collections which received a high priority for action in the assessment process set out in section 2.2 should be actioned first.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Collection number  From the table in section 2.2 | Description of record collection  From the table in section 2.2 | Priority  From the table in section 2.2 | Manager responsible for the panned actions  Person responsible for managing the planned actions | Resources assigned to the planned actions  For example, the storage provider contracted to undertake the work or the internal staff resources | Details of planned actions  Specify the planned actions. For example:   * recall a sample of the collection of records to further check priority and estimate the amount of work needed OR * check the box listing to determine the correct classes and retention periods, recall a sample of 1 in 10 boxes to confirm, enter details into the xx system * recall the first 200 boxes, use RDAxx to determine the correct class and retention period for each file, enter details into the xx system (suggest you bulk update the details as much as possible) |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

## Year Two

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Collection number | Description of record collection | Priority | Manager responsible for the panned actions | Resources assigned to the planned actions | Details of planned actions |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

## Year Three

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Collection number | Description of record collection | Priority | Manager responsible for the panned actions | Resources assigned to the planned actions | Details of planned actions |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

# Monitoring and reporting

Set out processes and arrangements for monitoring and reporting on implementation progress to your own organisation. For example, to your Director, Executive or Governance Committee.

Note – this plan only needs to be provided to PROV in cases where PROV requests this.