

Public Record Office Victoria

STRATEGIC MANAGEMENT STANDARD PROS 23/01

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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 between Victorian public offices
- Transferring functions outside the Victorian public sector



Public Record
Office Victoria



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)¹, 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¹ The previous *PROS15/03 Standard for the encapsulation of digital records* has been revoked and the requirements have now been included in the *PROS19/05 Create, Capture and Control Standard* and associated Specifications.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 or custodian, 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 compliance with the Standards and reports to PROV as required.
2. An effective governance structure for records management must be established, maintained and incorporated into the public office governance processes.
3. Accountabilities and responsibilities for managing records in compliance with PROV Standards must be clearly defined.
4. A records management program must be established, maintained and sufficiently resourced to enable the public office to meet the requirements of the PROV Standards.
5. Those responsible for records management must have the necessary specialist expertise and skills, as defined in industry and professional standards.
6. 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 which takes account of the functions and context of the public office must be in place. This may be a separate document which aligns with other relevant strategies or 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. Recordkeeping requirements must be included and addressed when the public office is strategically planning and designing its information technology infrastructure (enterprise architecture) and making decisions about system procurement, implementation and decommissioning.
4. Risks to records held in all formats across the organisation must be included in security, risk and business continuity planning with effective mitigations and treatments implemented as needed.

4. POLICY

PRINCIPLE: A current records management policy must be in place, endorsed at an executive level, regularly reviewed and communicated across the public office

REQUIREMENTS

1. A current executive endorsed records management policy must be in place and regularly reviewed and revised when necessary. It must be 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.

5. DIGITAL TRANSITION

PRINCIPLE: New records must be created and managed digitally

REQUIREMENTS

1. Public offices must plan and progressively transform processes so that they become fully digital.
2. New records must be created, captured, and managed digitally, unless there is a defensible reason for creating and managing them in physical format².

² There is no requirement that records which are already in physical format need to be converted into digital format. Public offices may choose to do this for their own business reasons.

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. Recordkeeping practices across the public office must be monitored and regularly reported on through the public offices usual reporting processes. Where the public office has an Audit Program, recordkeeping must be included within this.
2. Areas of concern must be identified and prioritised and addressed within reasonable timeframes. Adequate resourcing must be provided for this.

7. TRANSFERRING FUNCTIONS BETWEEN VICTORIAN PUBLIC OFFICES

PRINCIPLE: When a function is moved between Victorian public offices, arrangements for the identified records of that function must be planned and completed to ensure needs and obligations can continue to be met

REQUIREMENTS

1. The records of the function being moved 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 work together to plan, resource and implement arrangements for the identified records.
3. The current records relating to the function, with as much supporting information as possible (including metadata), must be moved with it. They must be moved in an accessible and usable format agreed between the public offices.
4. The receiving public office must check the records to ensure they are complete, usable and accompanied by the necessary supporting information. The receiving public office must communicate this confirmation to the relinquishing public office.
5. Where the relinquishing public office anticipates they will need access to the records being moved with the function, an information sharing arrangement may be made or a duplicate copy may be provided. These arrangements must be agreed between the public offices.
6. Where practicable, the minimum required retention periods for non-current records should be assigned before the move occurs. In cases where this is not practicable, the involved public offices should plan for this to occur as soon as possible and arrange any resourcing required for this. Where there is no current Retention and Disposal Authority, disposal authorisation must be obtained from the Keeper of Public Records.
7. 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.
8. Where permanent records of the function have been previously transferred to PROV, the relinquishing public office must notify PROV of the change of responsibility for the function being moved.

8. TRANSFERRING FUNCTIONS OUTSIDE THE VICTORIAN PUBLIC SECTOR

PRINCIPLE: When a function is moved 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 moved to a non-government body, the original public records created prior to that move must remain with the responsible Victorian public office. If the non-government body taking responsibility for the function requires access to those public records, an information sharing arrangement can be made or a duplicate copy of public records can be provided.
2. When a function is transferred to a government body outside Victoria, the responsible Victorian public office and the government body taking responsibility for the function must assess their need for the public records created up to that point.
If it is determined that the original public records should be moved with the function, approval must be given by the Keeper of Public Records.
If it is determined that the original public records should remain with the Victorian public office, an information sharing arrangement can be made or a duplicate copy of public records created up to that point may be provided to the government body taking responsibility for the function. Keeper approval is not required for this.

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