

# Public Record Office Victoria

## OPERATIONAL MANAGEMENT STANDARD PROS 24/01

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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
- System transition
- 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.

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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# 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. Systems must be regularly audited and reviewed for their suitability in meeting the recordkeeping needs and obligations of the organisation.

## 2. SYSTEM MAINTENANCE

**PRINCIPLE:** Systems<sup>1</sup> must be appropriately maintained

### REQUIREMENTS

1. Systems must be maintained so that they function reliably and do not place records at risk. This involves monitoring performance to ensure that any system changes do not inadvertently impact recordkeeping controls and performing regular preventative maintenance, such as the application of patches, to ensure systems function reliably. Corrective actions must be implemented if issues arise.

## 3. SYSTEM TRANSITION

**PRINCIPLE:** Arrangements for any system transitions must ensure that records are protected and remain accessible and usable for their minimum required retention period

### REQUIREMENTS

1. When systems undergo transition, arrangements must ensure that the records and associated metadata continue to be complete, retain their context and remain accessible and usable for their minimum required retention period. Where a transition will involve the migration of records and associated metadata, checks must take place to ensure that this process has been completely successful. Some examples of transition are

<sup>1</sup> "System" includes software, servers and networks.

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system upgrade, replacement or decommission and changes to service or hosting arrangements (e.g. outsourcing/cloud arrangements).

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## 4. PROCESSES

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

### 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 practicable.
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## 5. TRAINING AND AWARENESS

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

### REQUIREMENTS

1. All staff must be trained in how to apply the recordkeeping requirements of the public office, upon induction and periodically throughout their tenure. Contractors and volunteers must also be trained in how to apply any recordkeeping requirements which are necessary for the tasks they are performing for the public office.
  2. Ongoing training and awareness programs covering recordkeeping requirements, processes and responsibilities must be developed and implemented across the organisation.
  3. The effectiveness of training and awareness programs must be reviewed periodically, with ongoing improvements made.
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## 6. 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 or products to them, public offices must ensure recordkeeping requirements are included and properly discharged, For example, when contracting an
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organisation to provide them with data storage services. In cases where the contractor might sub-contract some or all of the work, the contract between them must specify that any sub-contractors must comply with the recordkeeping obligations.

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2. When contracting a provider to deliver services or programs on their behalf (outsourcing), public offices must ensure that recordkeeping requirements are included in the contract and properly discharged. This means the public office must ensure the third party provider manages the records they are creating or receiving on behalf of government in compliance with PROV Standards. In cases where the contractor might sub-contract some or all of the work, the contract between them must specify that any sub-contractors must comply with the recordkeeping obligations.

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  3. Public offices must ensure that provision is made for any permanent records created or received by the contracted service for or on behalf of the public office to be transferred to PROV, at the appropriate time. This also applies to permanent value records made or received by sub-contractors when performing work for or on behalf of the public office.
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