

Public Record Office Victoria

Recordkeeping Policy

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A value and risk-based approach to records management

1. Application

The Keeper of Public Records has approved this recordkeeping policy for taking a value and risk-based approach to records management.¹ Public offices should apply these principles to relevant recordkeeping decisions and practices.

2. Policy

It is mandatory for all Victorian public sector agencies to meet the requirements of the Standards issued by the Keeper of Public Records under section 12 of the *Public Records Act 1973*. However, Public Record Office Victoria (PROV) recognises that in a resource-constrained environment, prioritisation must take place.

It is PROV's position that Victorian public sector agencies take a value and risk-based approach to resourcing and implementing records management programs and initiatives. This means that:

1. The value of records to the public office, to government and to the community over time should determine the priority assigned and the resources and attention given to managing them
2. The degree, consequence and nature of risk associated with improper management of records should determine the priority assigned, and the resources and attention given to managing them
3. Preservation and risk mitigation strategies should be developed and implemented to ensure records are retained and are accessible and usable for authorised purposes for their minimum required retention period².
4. Records that need to be managed for longer than the system that they have been created or captured within require additional attention to ensure that the value of the records is not lost and that risks to the record continue to be mitigated.³

¹ Value and risk are defined and described, with examples, in *PROS 19/03 G Strategic Management Guideline* (<https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline>). Value and risk are carefully considered when determining retention periods for records in retention and disposal authorities, taking the needs of all stakeholders into account.

² Minimum required retention periods are specified in Retention and Disposal Authorities (<https://prov.vic.gov.au/recordkeeping-government/how-long-should-records-be-kept/retention-and-disposal-authorities-rdas>).

³ Migration is a process used when records need to be kept for longer than the system they have been created or captured within (see <https://prov.vic.gov.au/recordkeeping-government/a-z-topics/migration>).

3. Background

PROV developed this policy to address the need for agencies to manage the growing number of records and increased complexity of the systems and environments that records exist within. It is recognised that resources are limited, and that prioritisation is necessary.

Prioritising high value, high risk records when making records management decisions, including when designing systems and processes, enables the best use of limited resources while ensuring key records are managed appropriately.

PROS 19/03 G Strategic Management Guideline section 1.4 describes the kinds of value that a record may have and how to determine value (<https://prov.vic.gov.au/recordkeeping-government/document-library/pros-1903-g-strategic-management-guideline>). Section 1.5 describes the kinds of records-related risks that may need to be mitigated.

Retention and disposal authorities consider value and risk when setting retention periods for records. Determining how long records should be kept, including what kind of disposal authority to use and how to develop a retention and disposal authority, is covered in the disposal topic page (<https://prov.vic.gov.au/recordkeeping-government/how-long-should-records-be-kept>).

4. Appendix

Please see *PROS 19/03 Strategic Management Standard* and the associated *Strategic Management Guideline* for information on how to implement a value-risk based approach. They are available for download from the PROV website: <https://prov.vic.gov.au/recordkeeping-government/standards-framework>.

The decision pathways in the Digital Transition topic page (<https://prov.vic.gov.au/recordkeeping-government/a-z-topics/digital-transition>) may help to guide implementation of this policy.

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