

Public Record Office Victoria

CREATE, CAPTURE AND CONTROL STANDARD PROS 19/05

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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 the 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.

The Standards support the Victorian Electronic Record Strategy (VERS) Digital Forever 2018-2021¹, 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¹ The previous *PROS15/03 Standard for the encapsulation of digital records* has been revoked and the requirements have now been included in the *PROS19/05 Create, Capture and Control Standard* and associated Specifications.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. 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 organisation, government and the community, considering both current and future needs.
2. Public offices must create, capture, manage and retain records in digital formats only, whenever practicable.
3. 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.

2. PRESERVE

PRINCIPLE: Records must be preserved 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 readable for the required life of the record.
Physical records must be in a format and made of materials which mean they are likely to survive and be readable for the required life of the record.
Digital records must be in a format that is expected to survive and remain accessible and readable using readily available software for the required life of the record.
2. All records must have sufficient descriptive information attached to them to allow access and management over time. Typically, for both physical and digital records this information is represented as metadata held in systems. The minimum metadata required for all records is specified in PROS 19/05 S2 Minimum Metadata Requirements Specification.
3. All records must be managed to facilitate migration or relocation over time.
Digital records must be held in systems that provide effective export of the records (including metadata) from the system.
Physical records must have sufficient information maintained to identify their content and location and must be held in facilities and under arrangements which mean they can be relocated efficiently.
4. 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 be easily, reliably and cheaply converted to such a format). Approved long term sustainable formats are specified in PROS 19/05 S3 Long Term Sustainable Formats Specification.
 - b) the minimum metadata for VEOs is associated with each record. The minimum metadata required for VEOs is specified in PROS 19/05 S2 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

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. Protection and security controls must be designed and implemented to ensure records are only accessed, amended, used, released or disposed of, as authorised.

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