

# Specification

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11/07

Capture

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## Acknowledgements

Public Record Office Victoria would like to acknowledge the valuable contribution of members of Capture Advisory Group during the development of this Specification.

# 1 Introduction

## 1.1 Public Record Office Victoria 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 government agencies to apply those Standards to records under their control.

Recordkeeping Standards issued by Public Record Office Victoria (PROV) reflect best practice methodology. This includes international Standards issued by the International Organisation for Standardisation (ISO) and Australian Standards (AS) issued by Standards Australia in addition to PROV research into current and future trends.

Heads of government agencies are responsible under section 13b of the *Public Records Act 1973* for carrying out, with the advice and assistance of the Keeper, a program of efficient management of public records that is in accordance with all Standards issued by the Keeper.

In Victoria, a program of records management is identified as consisting of the following components:

- A recordkeeping framework
- Recordkeeping procedures, processes and practices
- Records management systems and structures
- People and organisational structures and
- Resources, including sufficient budget and facilities.

A program of records management needs to cover all records created by the agency, in all formats, media and systems, including business systems.

## 1.2 Purpose

PROV Standards contain mandatory principles for the management of public records within Victoria. Standards issued by the Keeper of Public Records are supported by Specifications that contain the measurable, mandatory requirements that agencies must comply with in order to meet the principles.

This Specification provides a detailed set of measurable and mandatory requirements which define the criteria for the implementation of 11/ 07 Capture. Agencies must meet all the requirements detailed in this Specification to ensure they comply with the principles articulated in the Standard.

The implementation of these requirements will enable your agency to effectively manage the records management activities within your agency, including the management of capture activities.

Each requirement within this Specification is individually numbered and described under the appropriate principle. Examples of evidence of compliance measures are provided for each requirement.

## 1.3 Scope

This Specification repeats principles from the Capture Standard. For more information on these principles, including explanation of why they are needed, please refer to the Capture Standard.

This Specification covers the activities associated with capture of public records in agency custody across the Victorian Government.

For definitions of terms used within this Specification, please refer to the *Master Glossary*.

# 2 Requirements

In this section, principles from the *Capture Standard* are provided in italics for easy reference. The tables below the principles list the mandatory requirements and examples of evidence for each requirement.

These principles cover records in all formats, including hardcopy, multi-media, email, telephone, instant messaging, records created in mobile applications or bring-your-own devices and web-based records (including social media,).

## 2.1 Creation

Principle: Full and accurate records of all agency activities and decisions are systematically created by authorised people or systems to meet business needs, accountability requirements and community expectations.

| Requirement   | Examples of Evidence   |
|---|--|
| <p>1. An assessment of the functions and responsibilities of the agency has been undertaken to determine:</p> <ul style="list-style-type: none"> <li>- the records which must be created and captured to meet business needs, accountability requirements and community expectations; and</li> <li>- how this should be done (systems, processes, formats, responsibilities, timeframes, metadata capture).</li> </ul> <p>This assessment should be based on the value of the records (and the function they serve) to the business, government and the community, considering both current and future needs.</p> | <p>Assessment report detailing the relationship between agency functions, activities and business processes with the types of records that need to be created and captured. The report includes the technology, systems, formats and structures including specific types of records created and captured. The report also includes records of agency business which are created or captured by outsourced providers.</p> <p>Records management policy directives, procedures and business rules include what records are created and captured and by whom.</p> <p>Objectives of key strategies (such as the environmental strategy or risk management strategy) identify areas that impact on the creation and capture of records.</p> <p>Audit reports that detail what records are being created and captured in accordance with identified agency functions, activities and business processes.</p> |
| <p>2. Processes must be developed and implemented to ensure that the required records are created and captured so that they are complete and meaningful, meet business and stakeholder needs and are consistent with legislative and other requirements.</p> <p>These processes must be clearly set out in policies and procedures and built into agency systems and activities.</p> <p>They must be communicated to all staff (including volunteers and contractors) who are</p>   | <p>Procedures and templates covering what records are to be created and captured, when records are to be created, where records are to be captured and who are to create and capture them.</p> <p>Training modules included in mandatory induction training and mandatory regular refresher training (preferably online) demonstrating what records are to be created and captured, when records are to be created, where records are to be captured and who are to create and capture them.</p> <p>Setting and testing of minimal competency requirements for</p>   |

|  |   |
|--|---|
| involved in that function or activity.   | <p>satisfactory completion of training.</p> <p>Training and competency certificates and attendance records.</p> <p>Audit reports that detail how well business records are being created and captured in accordance with the agency's procedures and processes.</p> <p>Strategies, policies or other planning documentation that specify how often audits of recordkeeping practice are conducted and what they will cover.</p>           |
| 3. The minimum level of detail required to ensure that records are complete, meaningful and comprehensive has been determined, built into processes and systems, and communicated to all staff (including volunteers and contractors) who are involved in that function or activity. | <p>Procedures and templates covering the minimum level of detail required and the minimum set of metadata needed to ensure that records are complete, meaningful and comprehensive.</p> <p>Timely communications (e.g. emails, information sessions) to staff (including volunteers and contractors) involved in that function or activity that they must follow these requirements. This should be supported by on-the-job training.</p> |

### Further Information

For information on developing a records management policy please see the *Strategic Management Guideline 1: Records Management Policy*.

For information on stakeholder engagement please see the *Strategic Management Guideline 7: Stakeholder Engagement Model*.

For information on functional analysis please see the *Operations Management Guideline 1: Functional Analysis*.

For information on appraisal please see the *Operations Management Guideline 2: Appraisal*.

For information on the requirements for records management training please see the *Operations Management Specification*.

For information on metadata schemes please see the *Control Standard* and associated documents.

## 2.2 Authenticity

Principle: Authentic records of all agency activities and decisions are consistently captured by robust and compliant systems.

| Requirement  | Examples of Evidence   |
|--|--|
| <p>4. Records of all agency activities and decisions are consistently and routinely created and captured into the appropriate authorised systems.</p>  | <p>Recordkeeping policy directives, procedures or business rules include a requirement to capture records of all agency activity and decisions into authorised systems.</p> <p>System registers, record registers or registration records that uniquely identify each record captured. Business process documents that identify the points where records are created and captured.</p> <p>Records management procedures that specify what systems are authorised and how records should be captured in them (including the registration process, naming conventions and classification schemes). The procedures also cover the capture of records created using technology that does not integrate well with existing systems (such as the use of file notes to capture verbal conversations or screen dumps to capture social media records).</p> |
| <p>5. Systems that capture records are compliant with PROV Standards or integrate with systems which are compliant with PROV Standards and information policies and requirements.</p>  | <p>Assessment reports that specify how systems are compliant with PROV standards and information policies and requirements.</p> <p>Reports that specify how systems used to capture records are integrated with existing compliant systems.</p> <p>Records management policy, information management policy or directives requiring systems to be compliant.</p> <p>Reporting on compliance of systems is provided to internal and/or external records and information governance groups.</p>  |
| <p>6. Processes and systems are in place to ensure that changes to the content or metadata of records are captured (what, who, when), where this might be necessary to demonstrate the authenticity of the record, provide evidence of activity or decision-making or assist the agency to carry out its business.</p> | <p>Contracts, technical specifications and tender documentation include provisions for the identification of what content and metadata is to be captured. Metadata schemes include fields for the capture of information regarding what is to be captured, by whom and when.</p> <p>Audit logs capture when changes are made to records.</p> <p>Procedures include how to ensure that authorised changes made to content are to be undertaken so that details regarding the changes made are captured.</p>   |

## 2.2.1 Further Information

For information on developing a records management policy please see the *Strategic Management Guideline 1: Records Management Policy*.

For information on metadata and classification schemes please see the *Control Standard* and associated documents.

## 2.3 Reliability

Principle: Public records are correctly and clearly connected to the relevant times, people, systems, processes and events to ensure they are reliable evidence of what occurred.

| Requirement  | Examples of Evidence  |
|--|---|
| <p>7. Records are created and captured as part of or as soon as practical after the action, decision or incident that they document.</p>   | <p>Procedures cover determining when records are to be created and captured.</p> <p>Audit reports that detail how well business records are being created and captured in compliance with the agency's procedures and processes.</p> <p>Strategies, policies or other planning documentation that specify how often audits of recordkeeping practice are conducted and what they will cover.</p> <p>Engagement sessions with staff, volunteers and contractors to work through issues where records are consistently not being created at the point of the action, decision or incident.</p>  |
| <p>8. The appropriate metadata is determined and captured, automatically where possible, to ensure the records have context and meaning and provide reliable evidence of activities and decisions.</p> | <p>Systems registers, record registers or other registration records that identify the metadata captured along with the records, including the type, format and justification.</p> <p>Contracts, technical specifications and tender documentation for automated processes include provision for the automated creation and capture of agency business activities specified in the documentation.</p> <p>System specifications which describe what, when and why the system was created.</p> <p>Metadata scheme detailing the mandatory metadata fields required when records are created and captured to ensure that relationships are adequately documented.</p> <p>Procedures covering the minimum set of mandatory metadata.</p> <p>Audit reports that detail how well metadata is being connected with records in accordance with the agency's procedures and processes.</p> |

## Further Information

For information on developing a records management policy please see the *Strategic Management Guideline 1: Records Management Policy*.

For information on minimum mandatory metadata please see the *Control Standard* and associated documents.

## 2.4 Useability

Principle: Public records are preserved for future use at the time of their creation and capture through effective strategies, methods and formats.

| Requirement  | Examples of Evidence   |
|--|--|
| <p>9. Risks to records have been identified, assessed and mitigated from the point of creation or capture as part of the agency's overall risk management framework.</p> | <p>Risk assessment detailing the risks identified at point of creation or capture and resulting mitigation strategies.</p> <p>Risk register identifying specific preservation risks.</p> <p>Risk management framework.</p> <p>Records management strategy and records management policy link to the risk management strategies and methods needed to ensure that records continue to be useable for the duration of their retention period and business use.</p> <p>Procedures covering how specific risk management activities are to be conducted and who is responsible for actioning them.</p> |
| <p>10. Records are captured in systems and formats that preserve the integrity of the records whilst facilitating their reuse.</p>                                       | <p>Risk assessment detailing the preservation risks associated with systems and formats and mitigation strategies for the risks identified.</p> <p>Records management policy and information and communication technologies policy include directives specifying the systems and formats that records are to be captured in.</p> <p>Procedures and training material covering how records in specific systems and formats may be reused.</p>   |
| <p>11. The appropriate metadata is captured and preserved with the record for the duration of its retention period.</p>  | <p>Contracts and tender documentation include provisions to capture the metadata associated with records along with the records for the duration of their business use.</p> <p>System specifications describing what metadata is captured along with records, who or what is capturing it and how it is captured.</p>  |
| <p>12. Information needed to locate, retrieve, present and interpret records is captured and preserved with the record for the duration of its retention period.</p>     | <p>Procedures covering determining what information is captured along with the record to ensure the record may be located, retrieved, presented and interpreted (including how to use naming conventions and classification schemes).</p>  |

## Further Information

For information on risk assessments for records management please see the *Strategic Management Guideline 6: Records and Risk Management*.

For information on developing and implementing a records management strategy please see the *Strategic Management Guideline 5: Records Management Strategy*.

For information on developing a records management policy please see the *Strategic Management Guideline 1: Records Management Policy*.

For information on metadata schemes please see the *Control Standard and associated documents*.

## 2.5 Integrity

Principle: Systems that capture public records maintain the integrity of the records as evidence, protecting them from undetected and unauthorised alteration.

| Requirement   | Examples of Evidence   |
|---|--|
| <p>13. Risks regarding unauthorised addition, deletion, alteration, use and concealment of business records have been identified, assessed and are mitigated from the point of creation or capture as part of the agency's overall risk management framework.</p> | <p>Risk assessment detailing records at risk of unauthorised addition, deletion, alteration, use and concealment.</p> <p>Risk registers identifying specific unauthorised and previously undetected alteration risks.</p> <p>Records management strategy and records management policy link to the strategies and methods identified in the risk assessment as being needed to mitigate risk of unauthorised addition, deletion, alteration, use and concealment.</p> <p>Procedures covering how specific mitigation activities are to be conducted.</p> <p>Risk management framework.</p>   |
| <p>14. Procedures are developed and all staff members (including volunteers and contractors) who are authorised to make changes to records are instructed in how to add, delete/remove, or alter records and capture these changes appropriately.</p>             | <p>Metadata scheme detailing the mandatory metadata fields required when recording authorised additions, deletions or alterations.</p> <p>Procedures covering how to make an authorised addition, deletion, or alteration of a record and capture it as a new record.</p> <p>Audit reports that detail how well authorised changes are being made in accordance with the agency's procedures and processes.</p> <p>Timely communications (e.g. emails, information sessions) to staff (including volunteers and contractors) instructing that they should follow procedures. This should be supported by on-the-job training on how to implement the procedures.</p> |
| <p>15. Records that carry security classifications are created and captured in compliance with the requirements of that classification.</p>   | <p>Information Security Policy or Records Security Policy<sup>1</sup></p> <p>Information security procedures covering the full life cycle of a record that specify how records carrying specific security classifications are to be created and captured as well as how they are to be managed. This includes the capture of portions of existing records so that security classifications are not</p>   |

<sup>1</sup> Please note that personal information captured should be subject to security classifications that are aligned with the *Privacy and Data Protection Act 2014*.

compromised.

Metadata scheme that includes relevant security classification elements.

Classification scheme that includes provision for relevant security classifications.

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### 2.5.1 Further Information

For information on risk assessments for records management please see the *Strategic Management Guideline 6: Records and Risk Management*.

For information on metadata and classification schemes please see the *Control Standard* and associated documents.

# 3 References

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State Records of South Australia (SRSA) 2013, *Adequate Records Management v 3.0*, SRSA, 'Outcome 4: Records are created, captured and controlled' Adelaide, viewed 5 July 2016, <[http://www.archives.sa.gov.au/sites/default/files/20131218%20Adequate%20Records%20Management%20Final%20V3\\_Copy.pdf](http://www.archives.sa.gov.au/sites/default/files/20131218%20Adequate%20Records%20Management%20Final%20V3_Copy.pdf)>.

Territory Records Office (TRO) 2012, *Guideline for Records Management No. 1 – Records Management Programs*, TRO, Canberra, viewed 3 February 2011, <[http://www.territoryrecords.act.gov.au/\\_\\_data/assets/pdf\\_file/0005/434615/Guideline-No-1-Records-Management-Program-July-2012.pdf](http://www.territoryrecords.act.gov.au/__data/assets/pdf_file/0005/434615/Guideline-No-1-Records-Management-Program-July-2012.pdf)>.

Victorian Auditor General's Office 2008, *Records Management Checklist*, VAGO Melbourne, viewed 28 June 2011, <[http://www.audit.vic.gov.au/reports\\_\\_publications/reports\\_by\\_year/2008/20080730\\_records\\_checklist.aspx](http://www.audit.vic.gov.au/reports__publications/reports_by_year/2008/20080730_records_checklist.aspx)>.

Victorian Auditor General's Office 2008, *Report on Records Management in the Victorian Public Sector*, VAGO, Melbourne, viewed 5 July 2016, <[http://www.audit.vic.gov.au/reports\\_\\_publications/reports\\_by\\_year/2008/20080312\\_records.aspx](http://www.audit.vic.gov.au/reports__publications/reports_by_year/2008/20080312_records.aspx)>.

## Legislation

Electronic Transactions Act 2000 (Vic)

Evidence Act 2008 (Vic)

Freedom of Information Act 1982 (Vic)

Health Records Act 2001 (Vic)

Privacy and Data Protection Act 2014 (Vic)

Public Records Act 1973 (Vic)

All current Victorian legislation is available at <http://www.legislation.vic.gov.au>

## Standards

Northern Territory Government (NTG) 2010, *Records Management Standards for Public Sector Organisations in the Northern Territory*, NTG, Darwin, viewed 3 February 2011, <[http://www.nt.gov.au/dbe/it/records/docs/Records\\_Management\\_Standards\\_August\\_2010.pdf](http://www.nt.gov.au/dbe/it/records/docs/Records_Management_Standards_August_2010.pdf)>.

Public Record Office Victoria 1997, *PROS 99/007 Management of electronic records*, PROV, North Melbourne, viewed 17 June 2011, <[http://210.8.122.120/vers/standard/pdf/99-7\\_ver2-0.pdf](http://210.8.122.120/vers/standard/pdf/99-7_ver2-0.pdf)>.

Queensland State Archives (QSA) 2009, *Information Standard IS 40: Recordkeeping*, QSA, Runcorn, viewed 5 July 2016 <<https://www.qgcio.qld.gov.au/products/qgea-documents/548-information/2357-recordkeeping-is40>>.

Standards Australia 2004, *AS/NZS ISO 5127 Australian / New Zealand Standard on information and documentation – Vocabulary*, Standards Australia, Sydney.

Standards Australia 2002, *AS ISO 15489 Australian Standard on Records Management*, Standards Australia, Sydney.

State Records Commission of Western Australia (SRCWA) 2002, *SRC Standard 2: Recordkeeping Plans*, SRCWA, Perth, viewed 5 July 2016, <<http://www.sro.wa.gov.au/sites/default/files/src-standard1.pdf> >.

State Records of South Australia (SRSA) 2008, *Adequate Records Management Standard*, SRSA, Adelaide, viewed 3 February 2011, < <http://www.archives.sa.gov.au/content/adequate-records-management-framework> >.

Territory Records Office (TRO) 2009, *Standard for Records Management Number 1:Governance*, TRO, Canberra, viewed 3 February 2011, <

[http://www.nt.gov.au/dcis/info\\_tech/records\\_policy\\_standards/records\\_management\\_standards/standard1\\_governance.shtml](http://www.nt.gov.au/dcis/info_tech/records_policy_standards/records_management_standards/standard1_governance.shtml) >.

## Other Resources

You can obtain relevant publications, supplies of relevant forms, and answers to any enquiries you may have by first contacting your agency's records manager or the Public Record Office Victoria:

For more information on Capture please contact:

Standards and Policy

Public Record Office Victoria

Ph: (03) 9348 5600

Fax: (03) 9348 5656

Email: [agency.queries@prov.vic.gov.au](mailto:agency.queries@prov.vic.gov.au)

Web: [www.prov.vic.gov.au](http://www.prov.vic.gov.au)