



Australian Government

Department of Education, Employment and Workplace Relations

BSBRKG501A Determine business or records system specifications

Release: 1

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Modification History

Not applicable.

Unit Descriptor

This unit describes the work that is required to determine the recordkeeping specifications of a business or records system, and its procedures and guidelines for a whole function; it is scalable up to the business or records system for a whole organisation or down to activities within a function. It may also be used for the review of the specifications, procedures and guidelines.

Linkages outside these National Competency Standards

ISO DIS 15489 - Draft International Standard on Records Management

Links

The work described in this unit is linked to the work described in the following unit(s):

Previous Business Qualification(s)

BSBRKG301A Control records

BSBRKG401A Review the status of a record

The Same Business Qualification

BSBRKG502A Manage and monitor business or records systems

Subsequent Business Qualification(s)

BSBRKG603A Prepare a functional analysis for an organisation

BSBRKG604A Determine security and access rules and procedures

BSBRKG605A Determine records requirements to document a function

BSBRKG606A Design a records retention and disposal schedule

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BSBRKG605A Determine records requirements to document a function

BSBRKG606A Design a records retention and disposal schedule

Application of the Unit

Not applicable.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Not applicable.

Employability Skills Information

Not applicable.

Elements and Performance Criteria Pre-Content

Not applicable.

Elements and Performance Criteria

Elements and Performance Criteria

| Element | Performance Criteria |
|--|--|
| 1 Review the existing business or records system | <ul style="list-style-type: none">1.1 The existing records system is reviewed to identify its essential elements, changes and failings over failures relating to past operations1.2 Existing procedures are examined to assess currency and identify gaps and non-compliance issues1.3 The users of the system are identified and consulted regarding their requirements and views on the current system1.4 The current volumes of records and their usage are assessed to determine whether they need to be converted to the new system of control or otherwise linked to the new system1.5 The current system technology is assessed to determine whether it should be upgraded or replaced to meet current need |

- 1.6 The findings of the review and the recommendation for changes are documented in accordance with organisational standards
- 2 Develop the system specifications for managing the function's records
 - 2.1 The contents and structure of the records required for the function are analysed to identify the classifications and terms for titling and describing the records, and documented
 - 2.2 The metadata required to identify, control and link the records are identified and documented in accordance with the applicable technology
 - 2.3 The metadata and records of recordkeeping transactions processed by the new system are identified and documented
 - 2.4 The metadata for controlling the records of the function in the old system are mapped to the metadata for the new and a specification for conversion prepared where appropriate
 - 2.5 The classifications, descriptive terms, and all metadata sets and mapping are developed into a systems specification appropriate for the selected technology in accordance with organisational standards
- 3 Develop the procedures and guidelines for capturing and controlling the records in the new system
 - 3.1 The rules developed for identifying the transactions of the function to be documented are reviewed and customised in line with the users' requirements, the new system and selected technology
 - 3.2 Guidelines for applying the classifications and descriptive terms for the records of the transactions are developed in accordance with organisational best practice and documented
 - 3.3 Procedures for identifying and recording the disposal status and access classification of the records of the transactions are prepared and documented
 - 3.4 Procedures for registering records of the transactions and recording the recordkeeping transactions controlling them are prepared in line with the identified user requirements and the new system and documented

- 3.5 The procedures for classification, capture, registration and control of the records in the new system are circulated to the users for review and comment
- 3.6 The final version of the new system's specification, procedures and guidelines are documented according to organisational standards and submitted to the appropriate authority for approval

Required Skills and Knowledge

Not applicable.

Evidence Guide

The Evidence Guide identifies the critical aspects, knowledge and skills to be demonstrated to confirm competence for this unit. This is an integral part of the assessment of competence and should be read in conjunction with the Range Statement.

Critical Aspects of Evidence

Ability to synthesise changes in organisational context and users' needs to determine new records requirements should be demonstrated

A thorough knowledge of, and skills in identifying, metadata for recording recordkeeping transactions and controlling records should be demonstrated

Ability to document and update procedures across a whole system, or organisation should be demonstrated

A thorough knowledge of and skills in identifying metadata for recording recordkeeping transactions and controlling records should be demonstrated

Underpinning Knowledge*

* At this level the learner must demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some areas.

Relevant legislation from all levels of government that affects business operation, especially in regard to Occupational Health and Safety and environmental issues, equal opportunity, industrial relations and anti-discrimination

Organisation's functions, structure and culture

Organisation's policies and strategies

Internal controls

Recordkeeping principles and processes including functional requirements for recordkeeping

Recordkeeping terminology

Familiarity with organisation's classification scheme and language

Organisation's rules for the capture, access, use and maintenance

Segregation of duties

Workflow principles and practices

Familiarity with recordkeeping software applications

Underpinning Skills

Communicating complex relationships and processes effectively to users and management

Consulting with practitioners, staff members, customers, and others to elicit relevant information for analysis

Identifying and viewing component parts as integral elements of the whole system

Analysing and synthesising documentation, verbally delivered information, and observed behaviours

Documenting complex relationships and processes

Preparing, compiling and writing complex documents and reports

Analysing process functions and problems

Negotiating to achieve suitable results for the organisation's recordkeeping practices

Researching and analysing organisation requirements for recordkeeping

Auditing and monitoring use of the business or records system

Preparing and writing correspondence for both internal and external customers

Using tools and techniques to solve problems

Ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities

Resource Implications

The learner and trainer should have access to appropriate documentation and resources normally used in the workplace

Consistency of Performance

In order to achieve consistency of performance, evidence should be collected over a set period of time which is sufficient to include dealings with an appropriate range and variety of situations

Context/s of Assessment

Competency is demonstrated by performance of all stated criteria, including paying particular attention to the critical aspects and the knowledge and skills elaborated in the Evidence Guide, and within the scope as defined by the Range Statement

Assessment must take account of the endorsed assessment guidelines in the Business Services Training Package

Assessment of performance requirements in this unit should be undertaken in an actual workplace or simulated environment

Assessment should reinforce the integration of the key competencies and the business services common competencies for the particular AQF level. Refer to the Key Competency Levels at the end of this unit

Key Competency Levels

Collecting, analysing and organising information (Level 3) - in analysing the content and structure of the records required for the organisation's functions

Communicating ideas and information (Level 2) - in presenting the results of the review

Planning and organising activities (Level 2) - in arranging consultation with the users of the system

Working with teams and others (Level 2) - in consulting with the users of the system

Using mathematical ideas and techniques (Level 3) - in assessing and analysing the usage volumes of the records

Solving problems (Level 3) - presented by aligning the requirements of the system with the requirements of the users

Using technology (Level 2) - in working closely with the requirements of the system

Please refer to the Assessment Guidelines for advice on how to use the Key Competencies

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Range Statement

The Range Statement provides advice to interpret the scope and context of this unit of competence, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment. The following variables may be present for this particular unit:

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to Occupational Health and Safety and environmental issues, equal opportunity, industrial relations and anti-discrimination
- relevant industry codes of practice

Function may be:

- core business activities (operational)
- support function (e.g.: financial, personnel, asset management or correspondence business or records system)

The new system may be developed from a review of an existing system, or occasioned by:

- changes to the function or activities
- changes in organisational structures
- technological changes or changes in regulatory requirements

Technological change may require:

- complete or partial conversion of old system's records to new format
- medium or wholesale migration of old records and their recordkeeping histories to a new system (migration)

Classification capture, and/or registration rules and procedures may include:

- procedures for decisions to create a record
- identifying and classifying the transactions for access and/or disposal status
- attaching recordkeeping metadata including numbering or other unique identifiers
- applying thesaurus terms and functional classifications

Recordkeeping transactions processing the records in the system include:

- all location
- tracking
- retrieval
- read-only use
- review of status (sentencing and access status) and disposal transactions

Metadata may include:

- unique identifiers and other registration data
- creating context data
- classification (access, functional, disposal status) data
- indexing and retrieval data
- location, movement and use data,

For example, document name or title; text description or abstract; date of creation; date and time of communication and receipt; author; sender; recipient; physical form; links to related records documenting the same sequence of business activity; business system from which the record was captured; application software and version under which the record was created or in which it was captured; standard with which the records structure complies (e.g. Standard Generalised Markup Language (SGML)); details of embedded document links including applications software and version under which linked record was created; templates required to interpret document structure; and other structural and contextual information useful for management purposes; terms and conditions of access and disposal; use history; terms and conditions of access and disposal history

Users may be:

- workers processing business transactions in the system
- other employees internal to the organisation or external

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Unit Sector(s)

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