



Australian Government

Department of Education, Employment and Workplace Relations

BSBRKG502A Manage and monitor business or records systems

Release: 1

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Modification History

Not applicable.

Unit Descriptor

This unit describes the work involved in setting the operational frameworks for all record creation, capture, use and monitoring activities within the business or records system of a specific business domain. It may also be used to review these frameworks and activities.

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

BSBRKG302A Undertake disposal

BSBRKG401A Review the status of a record

BSBRKG402A Provide information from and about records

The Same Business Qualification

BSBRKG501A Determine business or records system specifications

Subsequent Business Qualification(s)

BSBRKG602A Develop recordkeeping policy

BSBRKG603A Prepare a functional analysis for an organisation

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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 Develop key performance indicators for recordkeeping activities including compliance with system rules, standards and procedures	<p>1.1 Measurable performance indicators are developed for recordkeeping activities from the strategic plan in conjunction with those who will undertake the specific tasks based upon recordkeeping responsibilities and the business or records system in place</p> <p>1.2 The recordkeeping responsibilities of individual personnel/organisational units are identified and documented</p> <p>1.3 Acceptable range of variation for compliance is determined based upon recordkeeping responsibilities, the applicable records management system and the organisation's risk management analysis</p>

- 2 Designate records use and maintenance responsibilities
 - 2.1 Responsibilities for records use and maintenance activities are designated to staff in accordance with organisation policies and the abilities of individual staff
 - 2.2 Performance targets are set within the parameters of the recordkeeping strategic plan
 - 2.3 Resources for the approved budget period are allocated in accordance with policies and strategic plan
- 3 Develop monitoring methodology
 - 3.1 The methodology for monitoring the business or records system's rules, standards and procedures is developed based upon organisational policies, strategies and the records management system technology
 - 3.2 The methodology developed includes the time-frames involved, means of surveillance, and form of reporting
 - 3.3 The methodology, performance criteria and the ranges of variation from the standards and rules are submitted to the appropriate individual/body for approval
- 4 Monitor a business or records system
 - 4.1 Monitoring is undertaken in accordance with approved timeframes and frequency and staff being monitored are notified in accordance with organisational policies and guidelines, where applicable
 - 4.2 Any variation from the business or records system's rules, standards and procedures that exceed the agreed limit is noted and details of the situation recorded
 - 4.3 Where required, reports are provided to the appropriate authority relating to records use and maintenance, and are in the required format, at the required intervals
- 5 Identify and respond to problems and changes
 - 5.1 Problems and changes requiring a systemic response are identified from the monitoring reports and external events
 - 5.2 Recommendations are made for revisions to systems, procedures, and future (strategic) plans in

- response to identified variations, changes and problems
- 5.3 Where they are required, amendments to systems are devised, and implementation planned, in response to problems and changes that require a systemic response
 - 5.4 Recommendations for system amendments, and the planning and implementation required are prepared, and approval sought from the appropriate person or body
 - 5.5 Procedures for using the business or records systems, and subsequent alterations and amendments to the procedures are authorised, ensuring that performance indicator parameters and access rules are adhered to
- 6 Designate records creation and capture responsibilities
- 6.1 Responsibilities for record creation and capture activities are designated to staff in accordance with organisational policies
 - 6.2 Records creation and capture performance targets are set within the parameters of the recordkeeping strategic plan
 - 6.3 Resources for the budget period are allocated in accordance with organisational policies and strategic plan

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

Demonstrated ability to identify critical indicators of the system's performance appropriate to the organisational context

Demonstrated ability to respond to problems with, or changes to, the system performance to manage them

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

Organisational functions, structure and culture

Organisational policies, strategies and procedures

Organisation's and other business or records systems

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

Familiarity with organisation's classification scheme and language

Recordkeeping, standards, principles, process and functional requirements

Quality assurance principles and processes

Performance management principles and processes

Workflow and business process re-engineering principles and practices

Underpinning Skills

Analysing process functions and problems

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

Preparing, compiling and writing complex documents and reports

Communicating complex relationships and processes effectively to users and management

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

Auditing and monitoring use of the business or records system

Preparing and writing correspondence for both internal and external customers

Managing financial, human, physical and technical resources to achieve an appropriate organisational outcome

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

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 developing the key performance indicators for the business system(s)

Communicating ideas and information (Level 2) - in delegating responsibilities for records use and maintenance activities

Planning and organising activities (Level 2) - in undertaking regular monitoring activities for the business systems(s)

Working with teams and others (Level 2) - in allocating the responsibilities for records use and maintenance activities

Using mathematical ideas and techniques (Level 2) - to analyse and detect problems and changes within the business system(s)

Solving problems (Level 3) - that require a systemic response

Using technology (Level 2) - to monitor system performance

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

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Recordkeeping, standards, principles, process and functional requirements

Quality assurance principles and processes

Performance management principles and processes

Workflow and business process re-engineering principles and practices

Underpinning Skills

Analysing process functions and problems

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

Preparing, compiling and writing complex documents and reports

Communicating complex relationships and processes effectively to users and management

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

Auditing and monitoring use of the business or records system

Preparing and writing correspondence for both internal and external customers

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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

Identification and documentation of recordkeeping responsibilities is based on:

the organisation's responsibility and accountability analysis
the system's rules, standards and procedures

Appropriate individual/body for approvals may be:

board of directors
chief executive officer
nominated senior management representative
business owner
senior management team
external public authority
recordkeeping professional(s)
delegated individual
audit committee

Reports on the business or records system may provide input to the next planning cycle for both annual recordkeeping program(s) may be and for the recordkeeping strategic plan, and may be about:

records use
compliance
maintenance
record creation
record capture

Monitoring may relate to:

a single records management system
a number of systems

Within a system, monitoring may include:

broad accumulation and growth monitoring
examining titling and indexing at item level
checking spelling
observation of localised rules and continuing relevance of classification
continuing relevance of classification
disposal schedule applicability
new records specifications

Specific objects of monitoring may include:

compliance with access rules
security
actions relating to freedom of information legislation

privacy requirements
specified access restrictions in the public sector
audit trail or log of users and activity in systems
compliance with disposal procedures
retention of records in relation according to schedule
records of authorisation of destruction
quality of recordkeeping about records
storage standards maintenance
correct use of spelling, spacing and numbering
changes in use of classification and indexing terms
volumes of actions or accumulations of records above or below anticipated levels
failures in tracking or increases in lost items
disparity, sentencing difficulties or gaps in retention and disposal schedule coverage
space shortages
disputes arising from any matters, particularly access questions
legal precedents requiring changes to system(s)
scanned clarity of images
reliability of optical character recognition techniques
input of metadata requirements

Systems may be:

current record systems
archival control systems
business systems (which generate records)
storage facilities systems

Performance indicators relate to:

parameters for tracking of records
retrieval and access (security and access rules, response to request time limits, service levels for requests)
disposal (percentage of records, unsentenced records, overdue for disposal action, functions/records not covered by disposal schedules)

Means of surveillance may include:

real-time observation (scrutiny of process)
examination of results (records)
statistical reports
selected snapshots of the system
compliance with organisational rules for monitoring staff
methods of preserving privacy
form(s) of reporting

Variations from the agreed limitations may include:

increases or decreases in the use of particular technologies
variations within the agreed limit but which are consistent
variations from the business or records system's performance or capacity

Approved methodology may include:

methods of preserving privacy
timeframes, frequency, and forms of monitoring and reporting
real-time observations (scrutiny of process)
examinations of results (records)
statistical reports

selected snap-shots of the system
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Problems and changes may include:

changes in administrative changes to functions/activities
changes to organisational structures
legislative or other regulatory changes
changes of government
takeovers, amalgamations or relocation
closures and bankruptcy
outsourcing and privatisation
case-law precedents
technological change and implementation

Systemic changes may include:

new classification and controlled language
new disposal classes or retention periods
new legal liabilities and other risks identified requiring changes to records specifications
migration of systems
bulk movement of records to control
new organisational or business unit functions
amendment to the classification system

Matters recommended for revision may include:

classification and indexing schemes
records specifications
disposal schedules
access rules and procedures
storage projections and requirements

Rules may be devised for:

the identification of record creators
negotiating transfer of custody or ownership
the generation and allocation of unique identifiers to record items
the naming/titling of items
the classification and indexing of items
the allocation of access/security status
the identification and record of disposal status items
the location and tracking of items
links between record items
recording the use history of items
capturing structural and contextual metadata

Recommendations for remedial action may include:

changes to/enforcement of procedures
disciplinary action
counselling of non-conforming individuals/business units
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Unit Sector(s)

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