Australian Government

Department of Education, Employment and Workplace Relations

BSBRKG404A Monitor and maintain records in an online environment

Revision Number: 1

ISC INDUSTRY SKILLS COUNCILS
Creating Australia's Future

BSBRKG404A Monitor and maintain records in an online environment

Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit covers the identification and assessment of records for storage and the maintenance and monitoring of electronic business records.
	No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.

Application of the Unit

Application of the unit	This unit applies to individuals who are required to demonstrate understanding of a broad knowledge base incorporating some theoretical recordkeeping concepts. The application is in relation to working with electronic records in an existing business or records system that has guidelines and processes to assist in making judgements on the status and classification of records. These judgements should be performed under supervision or in consultation with more senior staff or users of the system.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.

Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Confirm requirements for recordkeeping in an online environment	1.1. Identify and confirm *system* procedures for capturing and managing *records*
	1.2. Identify and verify organisational and *risk management* requirements for classifying and storing online information
	1.3. Identify legal, business, financial, socio-historical, and security requirements for recording online business transactions
	1.4. Prepare an organisational checklist in accordance with *organisational requirements* for use in assessing which electronic information should be captured, for how long and in what format
2. Identify and assess records for storage	2.1. Categorise incoming and outgoing information in terms of key activities and responsible personnel
	2.2. Assess information against the organisational checklist and records identified for capture
	2.3. Dispose information not to be stored in accordance with organisational procedures
	2.4. Determine *storage* methods and *media* in accordance with *retention requirements*
3. Monitor and maintain business records in an online environment	3.1. Classify, sentence and link records with other records in the system in accordance with system rules and organisational procedures
	3.2. Assign unique identifiers and register records into the recordkeeping system in accordance with system rules and organisational procedures
	3.3. Determine *access and security status* and disposal requirements of records and records in accordance with organisational procedures
	3.4. Store records on required *media* in accordance with organisational and record retention requirements
	3.5. Carry out *migration* of records from one medium to another in accordance with organisational procedures
	3.6. Action and record archiving or *disposal* of records in accordance with disposal schedule and organisational procedures
	3.7. Maintain records in a usable and accessible form in accordance with security conditions and legislative requirements

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

Required skills

- communication skills to identify organisational requirements for recordkeeping in an online environment
- technology skills to address online access and security issues
- literacy skills to read and interpret record content, functions and problems
- problem-solving and analysis skills to identify requirements of business or records system
- culturally appropriate communication skills to relate to people from diverse backgrounds and people with diverse abilities

Required knowledge

- overview knowledge of key provisions of relevant legislation, regulations, standards and documentation that may affect relevant aspects of business operations, such as;
    - AS ISO 15489:2004 Records Management
    - AS 5044 AGLS Metadata element set
    - AS ISO 23081.1:2006 Information and documentation - Records management processes - Metadata for records - Principles
    - AS 5090:2003 Work process analysis for recordkeeping
    - ASX Principles of Good Corporate Governance
    - ethical principles
    - codes of practice
    - privacy and freedom of information
    - archives and records legislation
    - occupational health and safety
- general principles and processes of records management and records management systems, including, but not limited to ;
    - systems of control
    - records continuum theory
    - mandate and ownership of business process
- online recordkeeping environment including location and nature of transactions

Evidence Guide

EVIDENCE GUIDE	
The Evidence Guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.	
Overview of assessment	
Critical aspects for assessment and evidence required to demonstrate competency in this unit	Evidence of the following is essential: • monitoring usage of online business or records system • monitoring application of system procedures • managing records as they are created, updated, migrated and disposed of.
Context of and specific resources for assessment	Assessment must ensure: • examples of real or simulated records, recordkeeping system and policies. • workplace reference materials such procedural manuals and company policies.
Method of assessment	A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit: • analysis of responses to case studies and scenarios • demonstration of techniques in a workplace or simulated environment • direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate • review of authenticated documents from the workplace or training environment • tests of knowledge on general principles and processes of recordkeeping systems.
Guidance information for assessment	Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example: • general administration units • other knowledge management units.

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Range Statement

RANGE STATEMENT	
The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.	

Systems relating to online records may include:	• archival control systems
	• business systems
	• cash register-based systems
	• characteristics relating to:
	   • aggregations
	   • context
	   • entities
	   • metadata
	• current business or records systems
	• ERDMS (Electronic Records and Document Management System)
	• informal
	• paper-based accumulation and card systems
	• PC-based accounting systems, employee and tax records systems
	• proprietary recordkeeping package
	• storage facilities systems

Records may include:	• digital, such as:
	   • remote drives
	   • servers
	   • CDs
	   • DVDs
	   • imaging systems
	   • PC-based applications
	   • mainframe
	   • server
	• physical, such as:
	   • audio-visual or multimedia
	   • graphic
	   • microform
	   • paper-based (acid free or multiple copies
	• a variety of sources, such as:

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	• already in the custody of the organisation
	• in the process of being transferred between organisations
	• different stages of use, e.g.:
	  • active
	  • archival

Risk management requirements may include:	• backup and recovery procedures • policy and procedures for checking the accuracy and currency of data • remote storage for backup data • secondary storage requirements
Organisational requirements may include:	• business • financial • legal • security • socio-historical
Storage may include:	• migration of records from one medium to another eg tape to compact disc • off-line • off-site • online • on-site • outsourced
Storage media may include:	• audiotape • audiovisual • compact disc • computer tape • diskette • film • hard drive • imaging systems • mainframe • microform • multimedia • paper based • server • video
Retention requirements may include:	• long term storage media for information / records • most cost-effective storage media for

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	ephemeral or short term records • remote storage of backup data in case of fire or other incidents
Access and security status may include:	• confidential • high security (restricted) • open
Migration of records may include:	• from about-to-be superseded media eg 5Â¼" disks • from tapes, which may deteriorate over time
Disposal of records may include:	• destruction of paper based records eg shredding • permanent deletion from electronic media

Unit Sector(s)

Unit sector	

Competency field

Competency field	Knowledge Management - Recordkeeping

Co-requisite units

Co-requisite units		