



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **BSBRKG505B Document or reconstruct a business or records system**

**Revision Number: 1**

## BSBRKG505B Document or reconstruct a business or records system

### Modification History

Not applicable.

### Unit Descriptor

<b>Unit descriptor</b>	<p>This unit describes the performance outcomes, skills and knowledge required to document or reconstruct a business or records system and its context over time.</p> <p>No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.</p>
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### Application of the Unit

<b>Application of the unit</b>	<p>This unit applies to individuals who are required to demonstrate understanding of a broad knowledge base, incorporating theoretical concepts with substantial depth in some areas. The application is in relation to those who work closely with other members of an organisation and have individual responsibility for documenting or reconstructing systems, and to those who work in specialist recordkeeping environments, such as archives. The unit can be applied equally to all types of collections of records, although historically it has been understood to relate only to traditional archival work.</p> <p>A business or records system may need to be reconstructed for a variety of reasons, including:</p> <ul style="list-style-type: none"> <li>• capturing into archival control systems for access and control purposes</li> <li>• changes to the system of control including computerisation or migration between systems</li> <li>• transfer of an organisation's ownership or control arising from amalgamation, takeover or bankruptcy</li> <li>• administrative change, closure of offices or changes in accommodation.</li> </ul>
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## Licensing/Regulatory Information

Not applicable.

## Pre-Requisites

<b>Prerequisite units</b>		

## Employability Skills Information

<b>Employability skills</b>	This unit contains employability skills.
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## 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.
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## Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Establish activities and functions documented by records	1.1. Identify and document actions, activities and <i>jurisdiction</i> by which <i>records</i> are generated 1.2. Establish boundaries and relationships of activities and functions of records, and check these against a functional analysis of the organisation 1.3. Identify creators of records by mapping them to the parts of the organisation responsible for functions or activities 1.4. Establish and document changes to functions or activities from the records, and verify against other appropriate <i>sources</i> over the time period of the records
2. Analyse the context of records and systems	2.1. Identify and describe previous or subsequent records or series to place records in their <i>context</i> , in accordance with organisational standards 2.2. Identify changes to <i>business or records systems</i> which have occurred over time, including any anomalies to the systemic order of records 2.3. Identify and describe creators of records, including their accountabilities and functional responsibilities 2.4. Identify specific records by nature of their content, similar function, or systemic relationship 2.5. Document and report on the system and records, including identifying any changes and anomalies, in accordance with organisational standards
3. Document reconstruction of the business or records system	3.1. Identify and document elements of the business or records system from records 3.2. Identify and document records series in accordance with organisational standards and procedures 3.3. Establish <i>control</i> where no system is apparent, or where system is inadequate to maintain control of records, by capturing records in accordance with organisational standards and procedures

## Required Skills and Knowledge

### REQUIRED SKILLS AND KNOWLEDGE

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

#### Required skills

- communication skills to consult with practitioners, staff members, customers, and others to elicit relevant information for analysis
- literacy skills to read and interpret nature of record content, functions and problems
- problem-solving and analysis skills to interpret and apply principles of business or records systems
- self management skills to accurately record metadata.

#### Required knowledge

- construction and use of language in the organisation in relation to recordkeeping (past and present)
- key provisions of relevant legislation from all forms of government, regulations, standards and documentation that may affect aspects of business operations, such as:
  - AS 5044.1:2002 AGLS Metadata element set
  - AS 5090:2003 Work process analysis for recordkeeping
  - AS ISO 15489:2004 Records management
  - AS ISO 23081.1:2006 Information and documentation - Records management processes - Metadata for records - Principles
  - Australian Stock Exchange(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, such as:
  - systems of control
  - records continuum theory
  - mandate and ownership of business process
- organisational business functions, structure and culture
- organisational policies, strategies and procedures, particularly those relating to records access and security.

## Evidence Guide

<b>EVIDENCE GUIDE</b>	
<p>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.</p>	
<b>Overview of assessment</b>	
<b>Critical aspects for assessment and evidence required to demonstrate competency in this unit</b>	<p>Evidence of the following is essential:</p> <ul style="list-style-type: none"> <li>• interpreting the concepts of records series and records systems</li> <li>• applying the concepts of records systems and series to an analysis of information about records in relation to organisational activities</li> <li>• knowledge of different systems for creating and managing records in the reconstruction of records systems.</li> </ul>
<b>Context of and specific resources for assessment</b>	<p>Assessment must ensure:</p> <ul style="list-style-type: none"> <li>• access to an actual workplace or simulated environment</li> <li>• access to office equipment and resources</li> <li>• access to examples of records, recordkeeping system and policies</li> <li>• access to workplace reference materials such as procedural manuals and company policy.</li> </ul>
<b>Method of assessment</b>	<p>A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:</p> <ul style="list-style-type: none"> <li>• analysis of responses to case studies and scenarios</li> <li>• demonstration of techniques</li> <li>• direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate</li> <li>• review of documentation outlining elements of the business or records system</li> <li>• oral or written questioning to assess knowledge of general principles and processes of recordkeeping systems.</li> </ul>
<b>Guidance information for assessment</b>	<p>Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:</p>

**EVIDENCE GUIDE**

- other business services units
- other knowledge management units.

## 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.

<b><i>Jurisdiction</i></b> may include:	<ul style="list-style-type: none"> <li>• government</li> <li>• non-profit</li> <li>• personal</li> <li>• private</li> <li>• profit</li> <li>• public sector</li> </ul>
<b><i>Records</i></b> may include:	<ul style="list-style-type: none"> <li>• different stages of use:             <ul style="list-style-type: none"> <li>• active</li> <li>• archival</li> </ul> </li> <li>• digital:             <ul style="list-style-type: none"> <li>• remote drives</li> <li>• servers</li> <li>• CDs</li> <li>• DVDs</li> <li>• imaging systems</li> <li>• PC-based applications</li> <li>• mainframe</li> </ul> </li> <li>• physical:             <ul style="list-style-type: none"> <li>• audio-visual or multimedia</li> <li>• graphic</li> <li>• microform</li> <li>• paper-based (acid free or multiple copies)</li> </ul> </li> <li>• variety of sources:             <ul style="list-style-type: none"> <li>• already in the custody of the organisation</li> <li>• in the process of being transferred between organisations</li> </ul> </li> </ul>
<b><i>Sources</i></b> may include:	<ul style="list-style-type: none"> <li>• information relating to public entities:             <ul style="list-style-type: none"> <li>• annual reports</li> <li>• gazettes</li> <li>• hansards</li> <li>• interviews</li> </ul> </li> </ul>



<b>RANGE STATEMENT</b>	
	<ul style="list-style-type: none"> <li>• legislation</li> <li>• minutes</li> <li>• news clippings</li> <li>• policies</li> <li>• related records</li> <li>• information relating to private entities:               <ul style="list-style-type: none"> <li>• company records</li> <li>• interviews</li> <li>• obituaries</li> <li>• personal letters</li> </ul> </li> <li>• information from sources external to the entities:               <ul style="list-style-type: none"> <li>• administrative histories</li> <li>• annual reports and other corporate publications</li> <li>• biographies</li> <li>• literature</li> <li>• organisational histories</li> </ul> </li> </ul>
<i>Context</i> may include:	<ul style="list-style-type: none"> <li>• chronological context:               <ul style="list-style-type: none"> <li>• complexity of records and changes over time</li> <li>• date of creation</li> <li>• date-range and size of records series</li> </ul> </li> <li>• organisational or functional context:               <ul style="list-style-type: none"> <li>• complexity of system including anomalies and exception to system rules</li> <li>• industry sector</li> <li>• method of original records registration</li> <li>• multiplicity of activities</li> <li>• paper-based systems where the control records (registers, indexes, thesaurus) are discrete series</li> <li>• computerised systems in which the records are stored attached to their metadata (single series or systems to multiple series and multiple systems)</li> <li>• political or social environment</li> <li>• position of creator or range of creators of records within the organisation</li> <li>• records may be generated in a business</li> </ul> </li> </ul>

<b>RANGE STATEMENT</b>	
	system for a variety of functions and activities, or they may be part of a records management system
<i>Business or records systems</i> may include:	<ul style="list-style-type: none"> <li>• archival control systems</li> <li>• business systems</li> <li>• cash register-based systems</li> <li>• characteristics relating to:               <ul style="list-style-type: none"> <li>• aggregations</li> <li>• context</li> <li>• entities</li> <li>• metadata</li> </ul> </li> <li>• current business or records systems</li> <li>• electronic records and document management system (ERDMS)</li> <li>• informal</li> <li>• paper-based accumulation and card systems</li> <li>• PC-based accounting systems, employee and tax records systems</li> <li>• proprietary recordkeeping package</li> <li>• storage facilities systems</li> </ul>
<i>Control</i> may include:	<ul style="list-style-type: none"> <li>• archival control systems</li> <li>• current business or records systems</li> <li>• storage facilities systems</li> </ul>

## Unit Sector(s)

<b>Unit sector</b>	
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## Competency field

<b>Competency field</b>	Knowledge Management - Recordkeeping
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## Co-requisite units

Co-requisite units		